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**Knowles et al.**

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(54) **PRE-DATA-COLLECTION APPLICATIONS TEST PROCESSING SYSTEM**

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(58) **Field of Search** ..... **702/189; 434/322, 434/331, 335; 382/100, 317**

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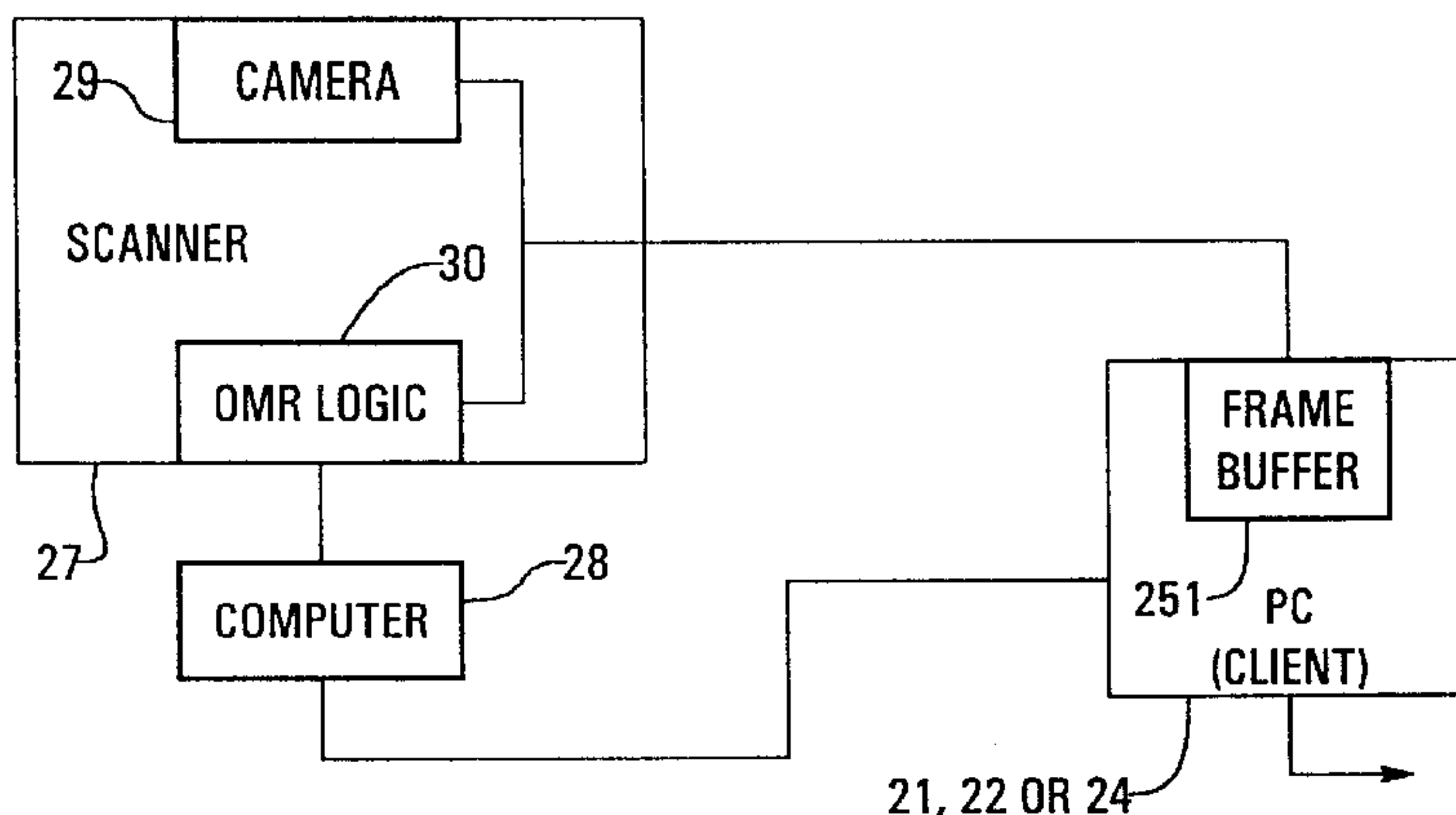
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(57) **ABSTRACT**

A system and method for determining which of a plurality of pre-data-collection software applications to apply to optically imaged responses received from a response provider.

**37 Claims, 14 Drawing Sheets**



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FIG. 1

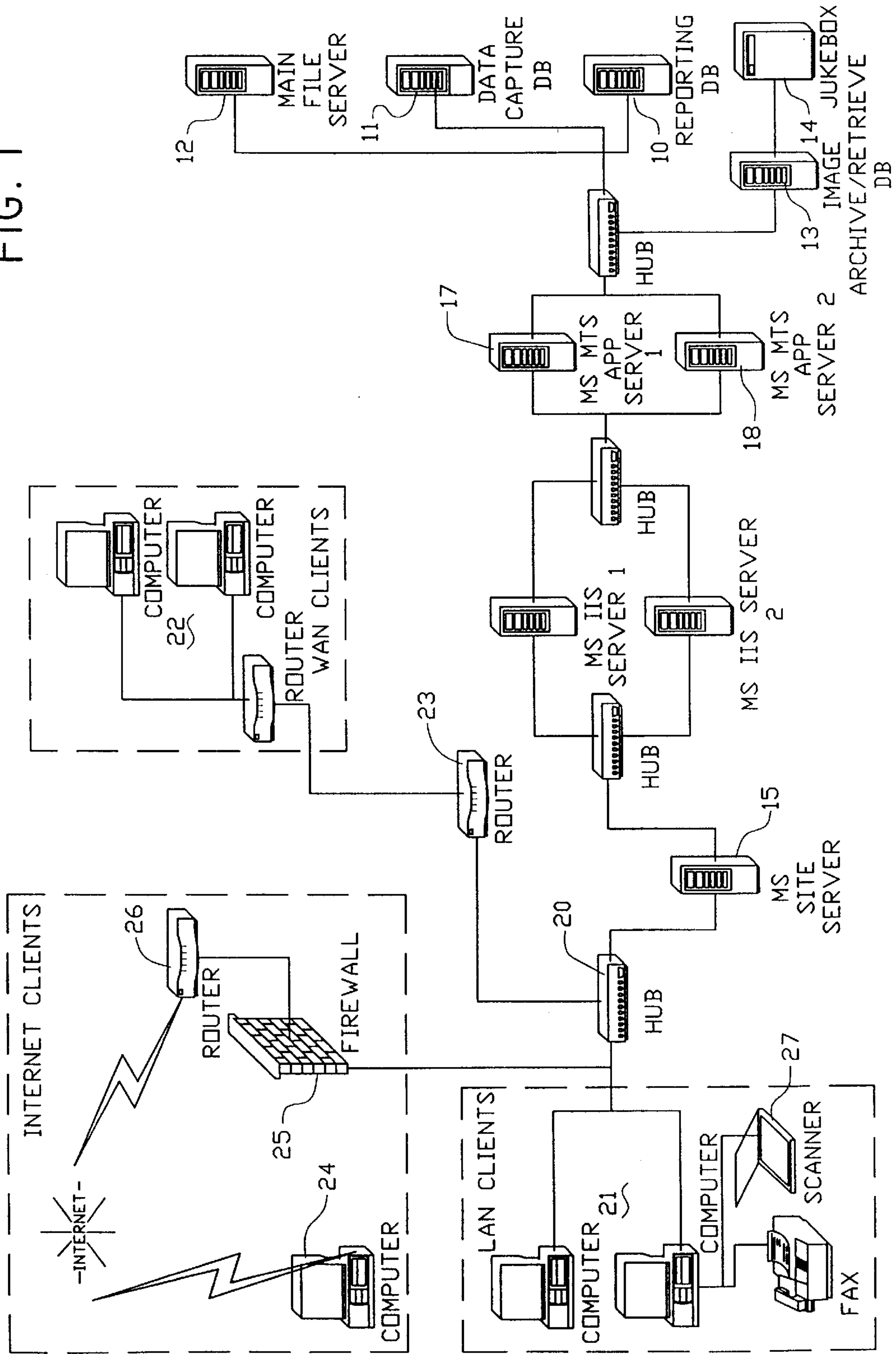


FIG. 1A

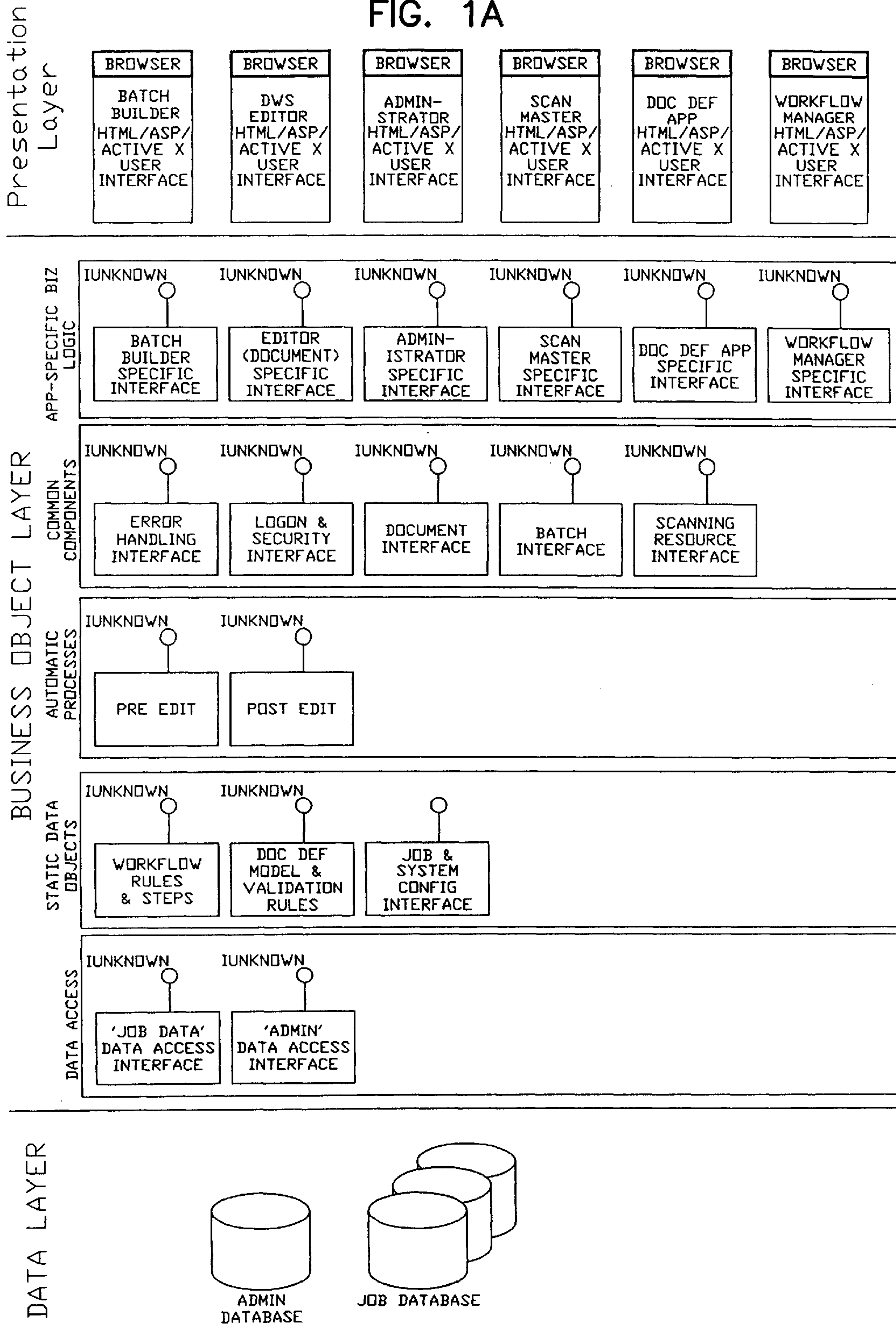


FIG. 2

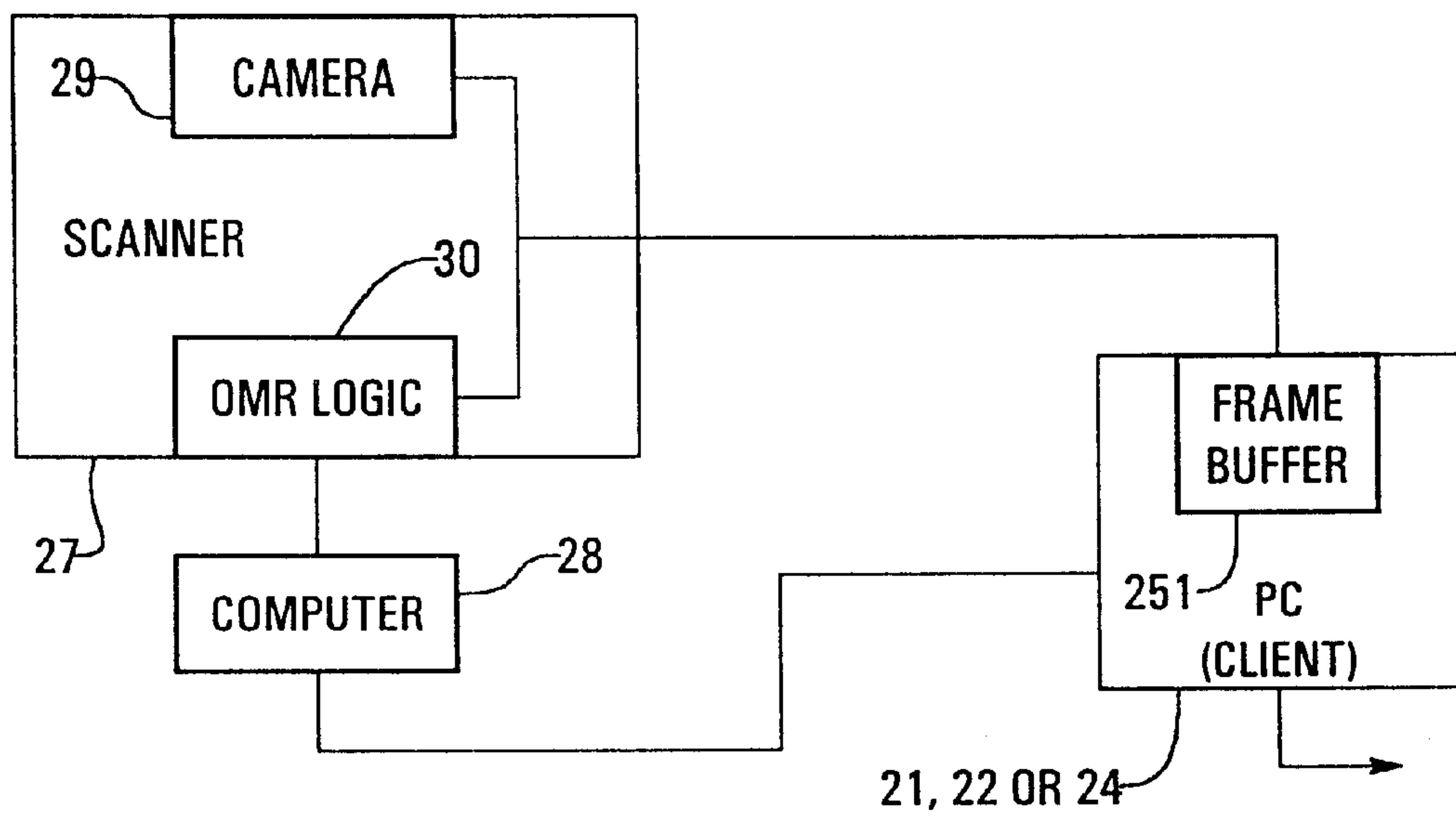


FIG. 3

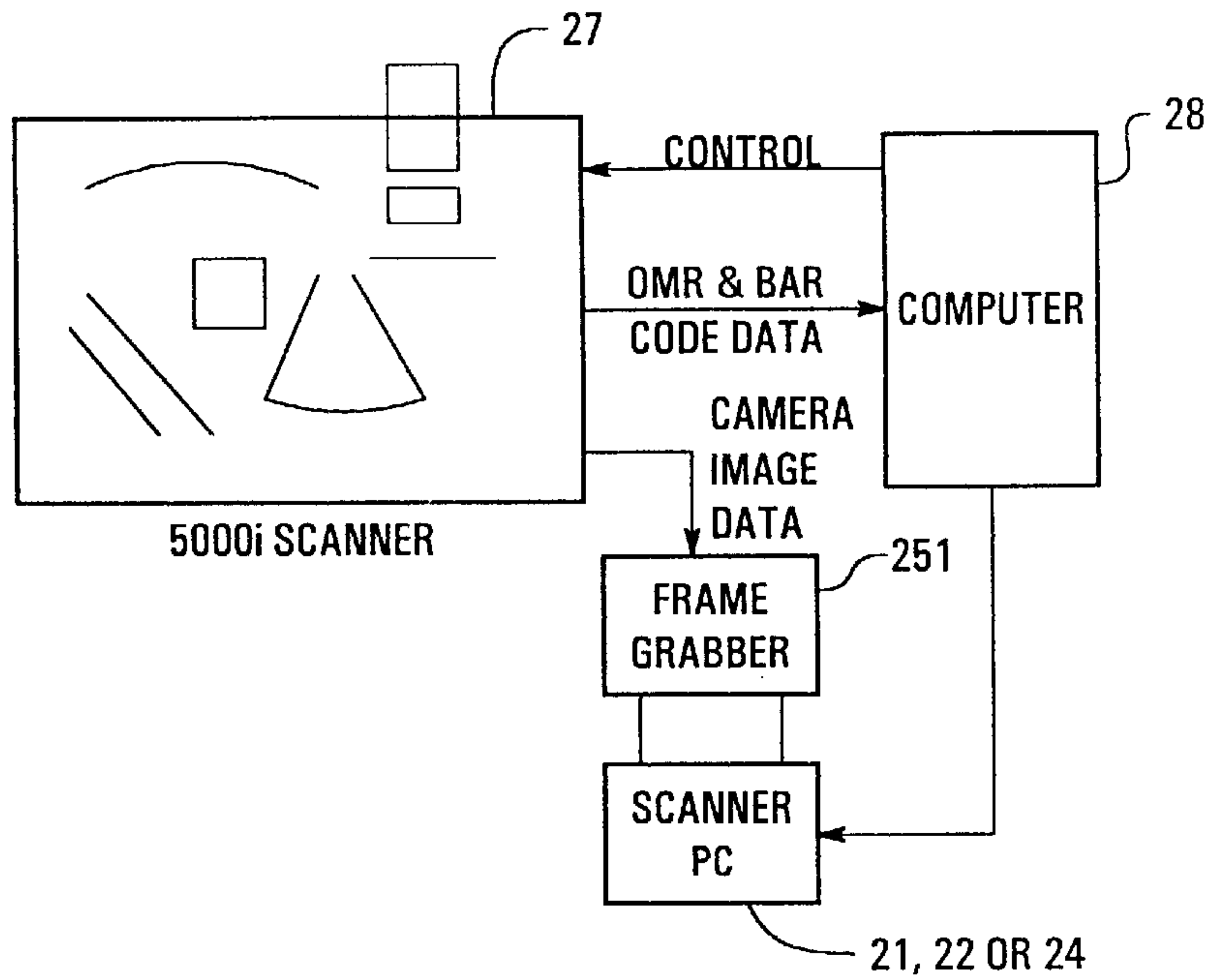


FIG. 4

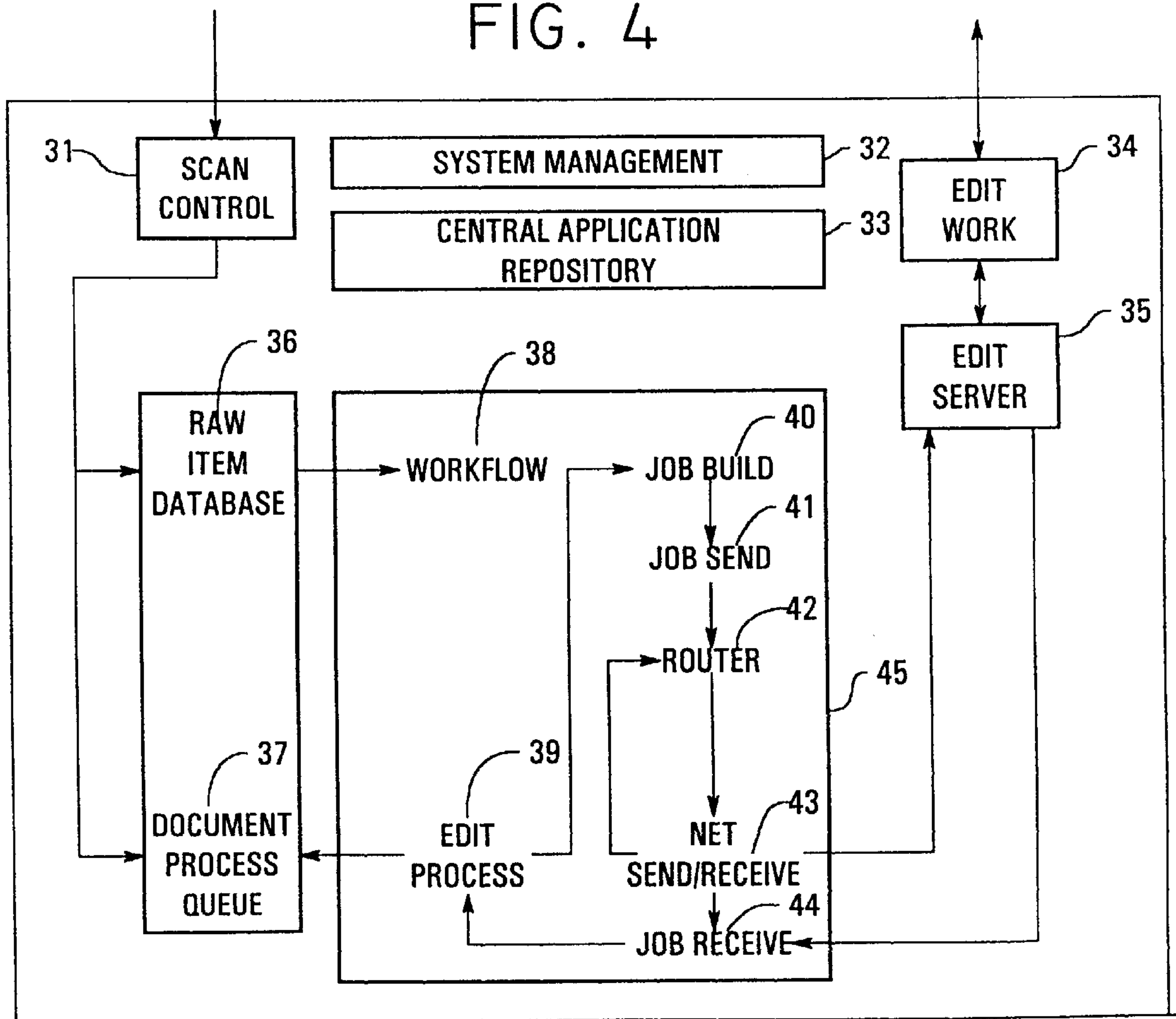


FIG. 5

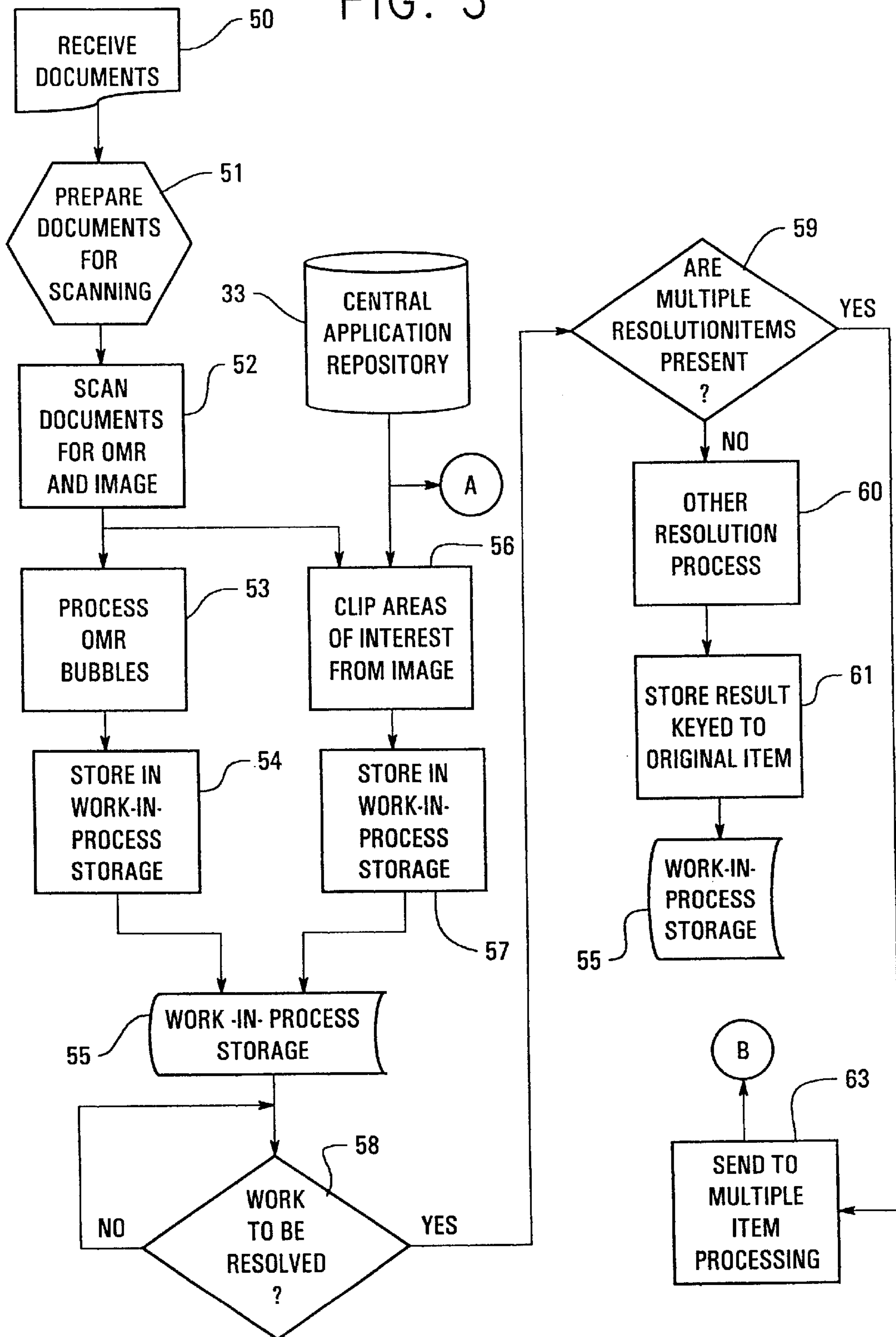


FIG. 6-1

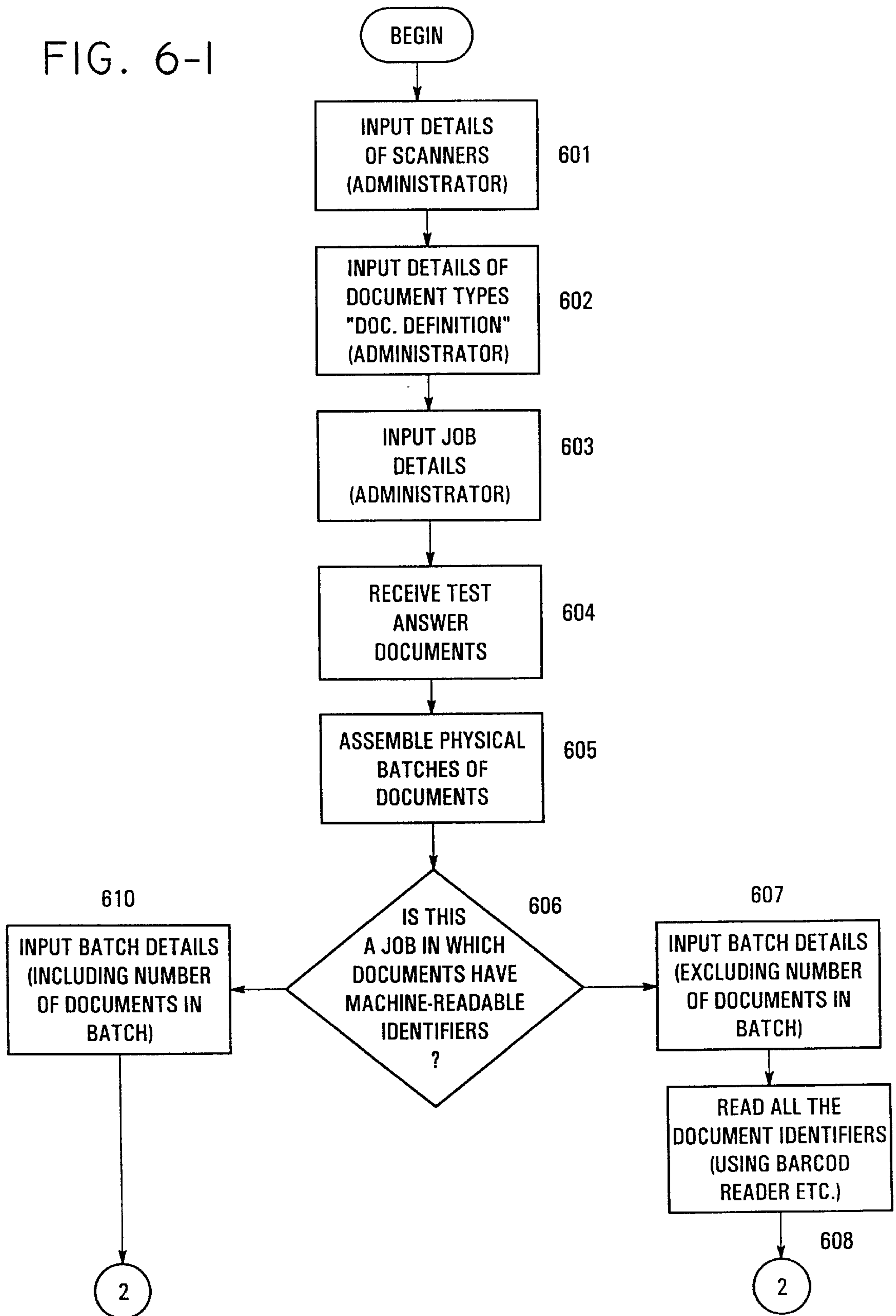




FIG. 6-2

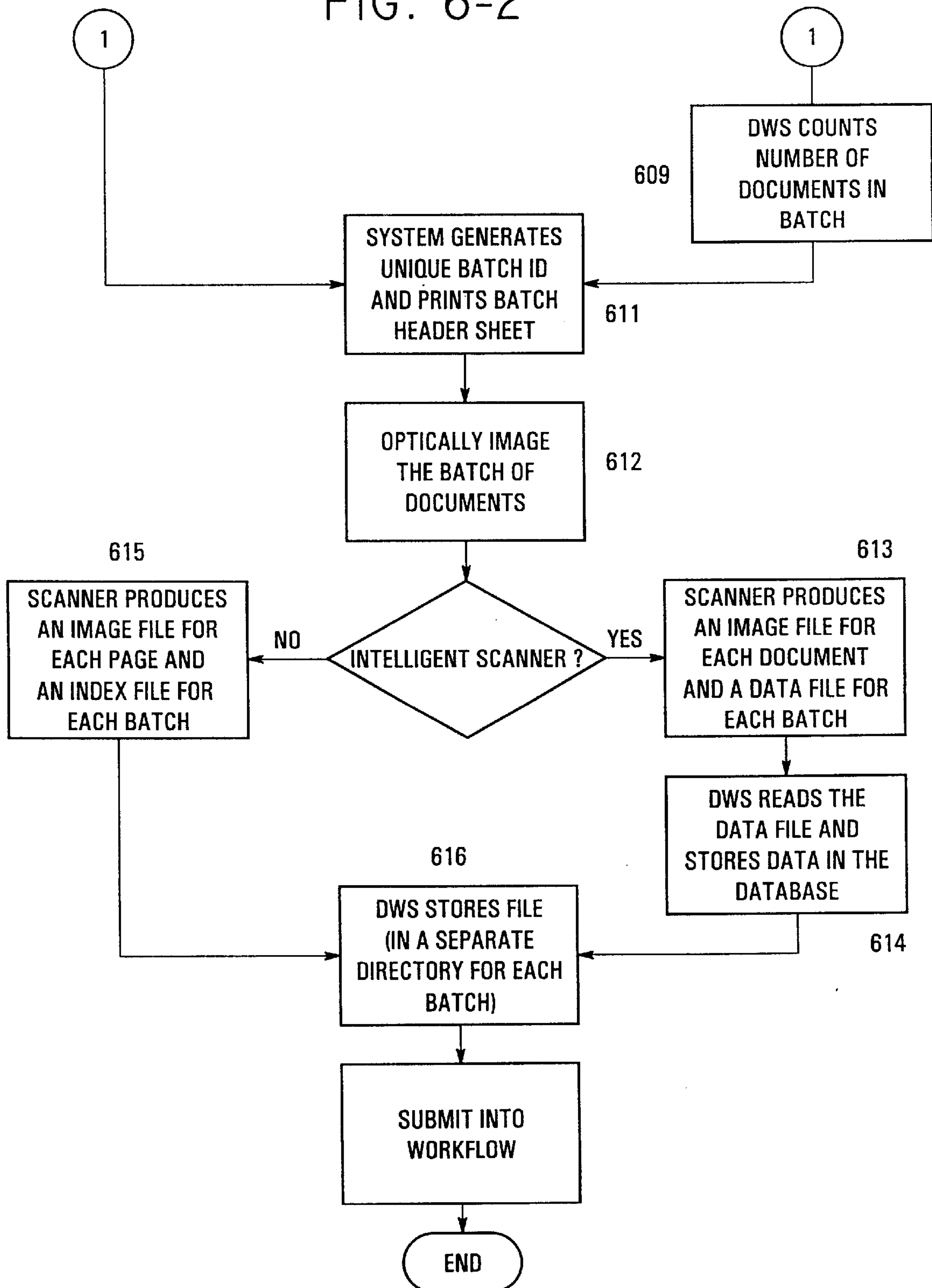


FIG. 7

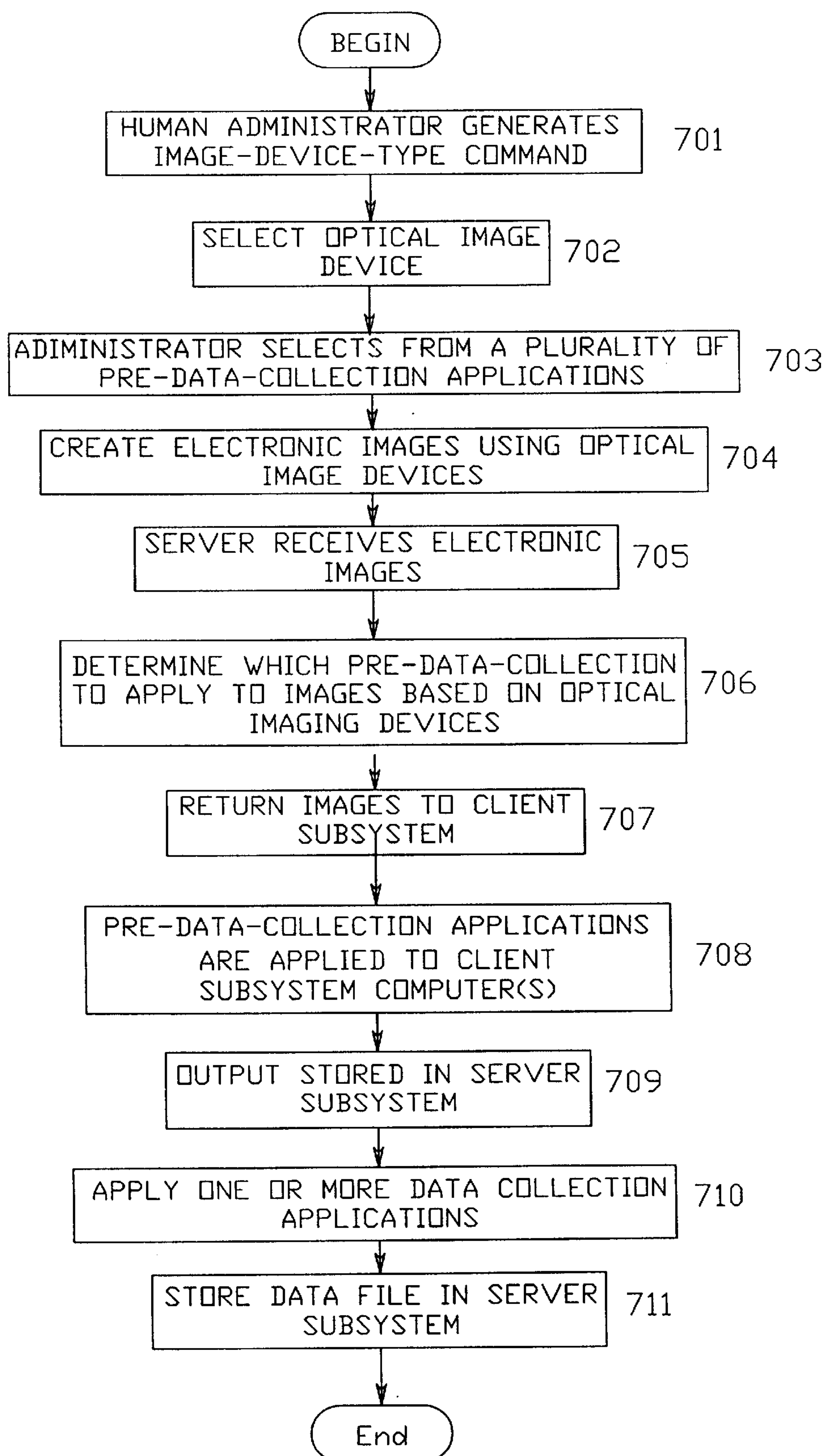


FIG. 8

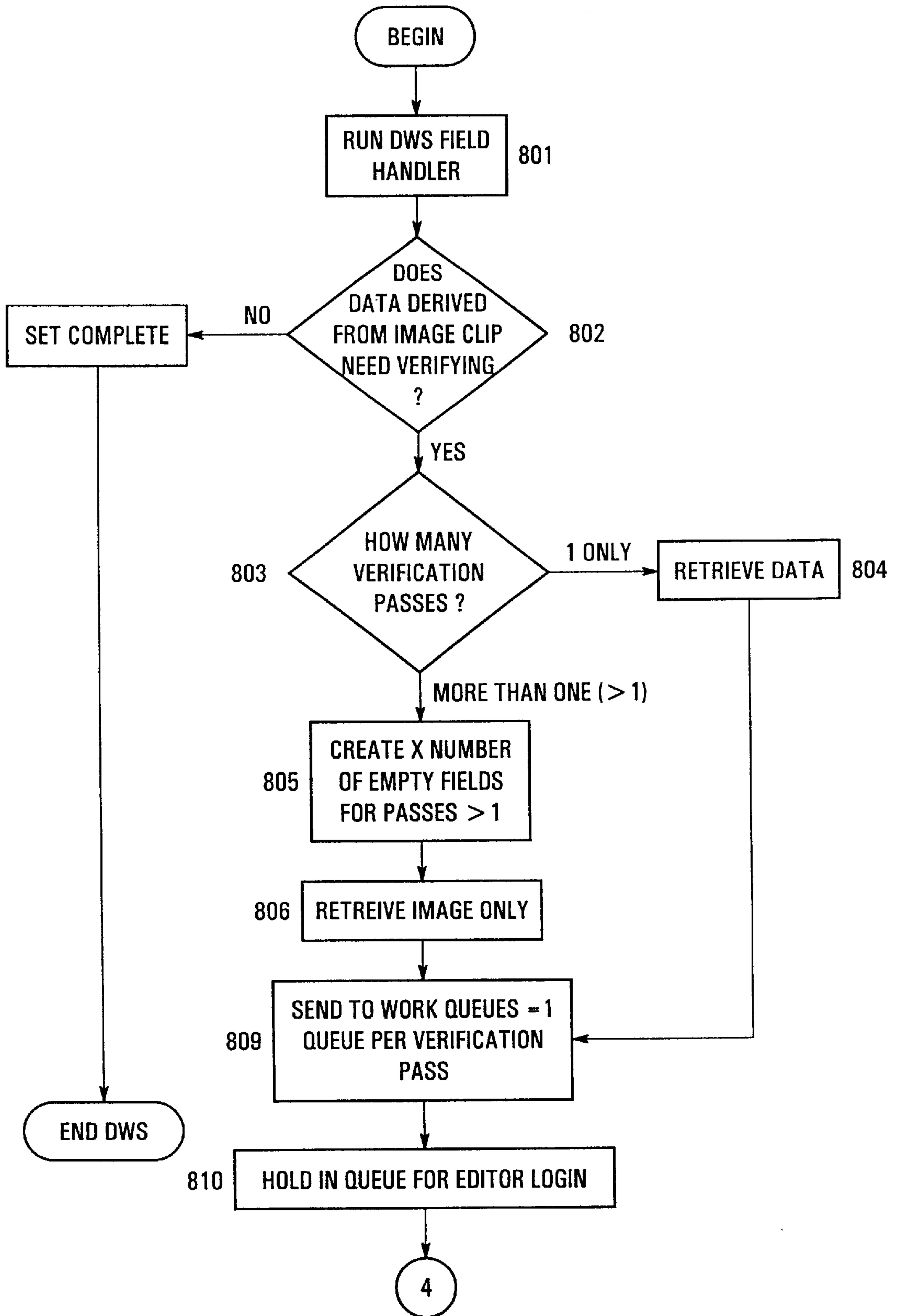


FIG. 8A

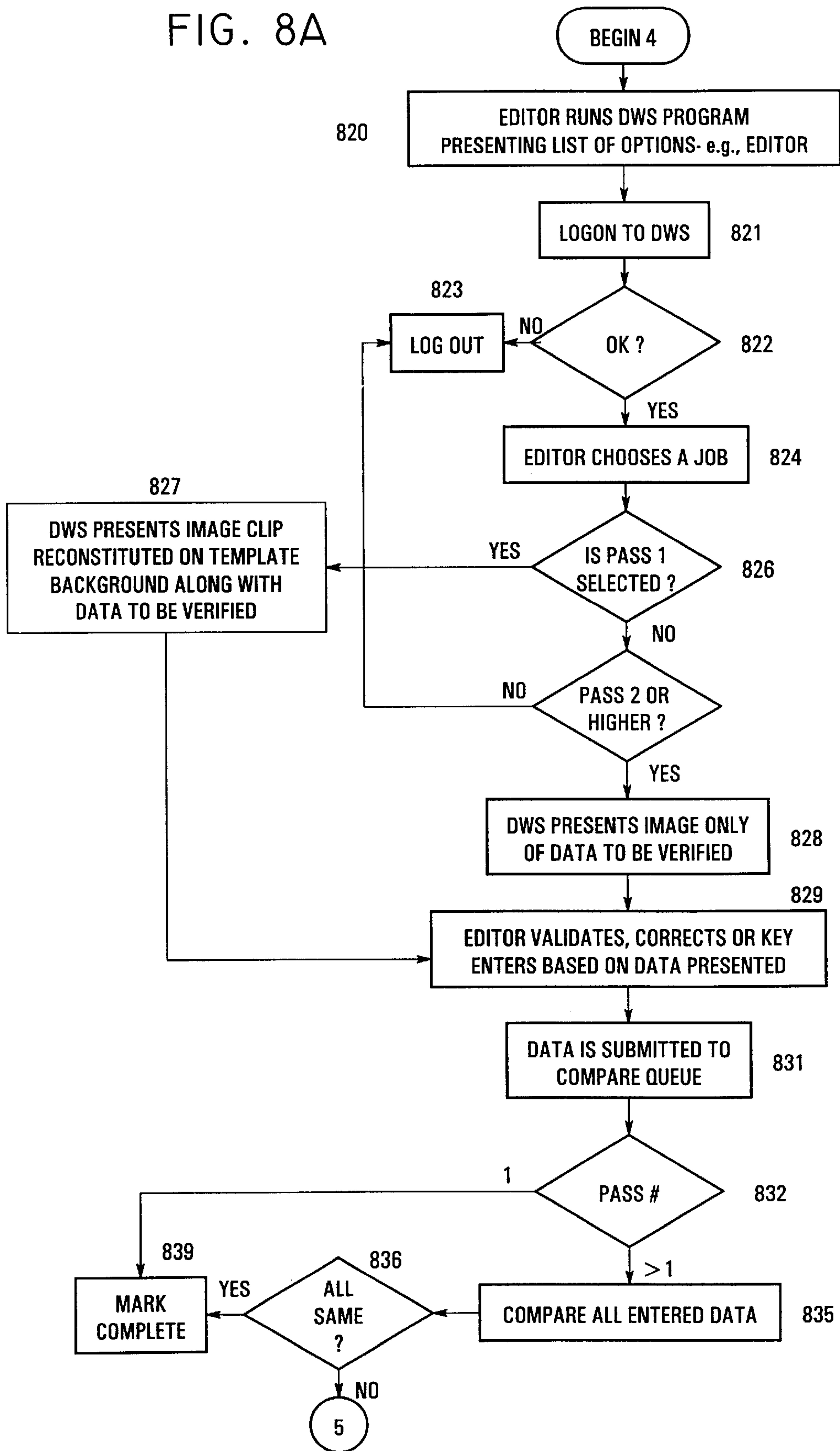




FIG. 8B

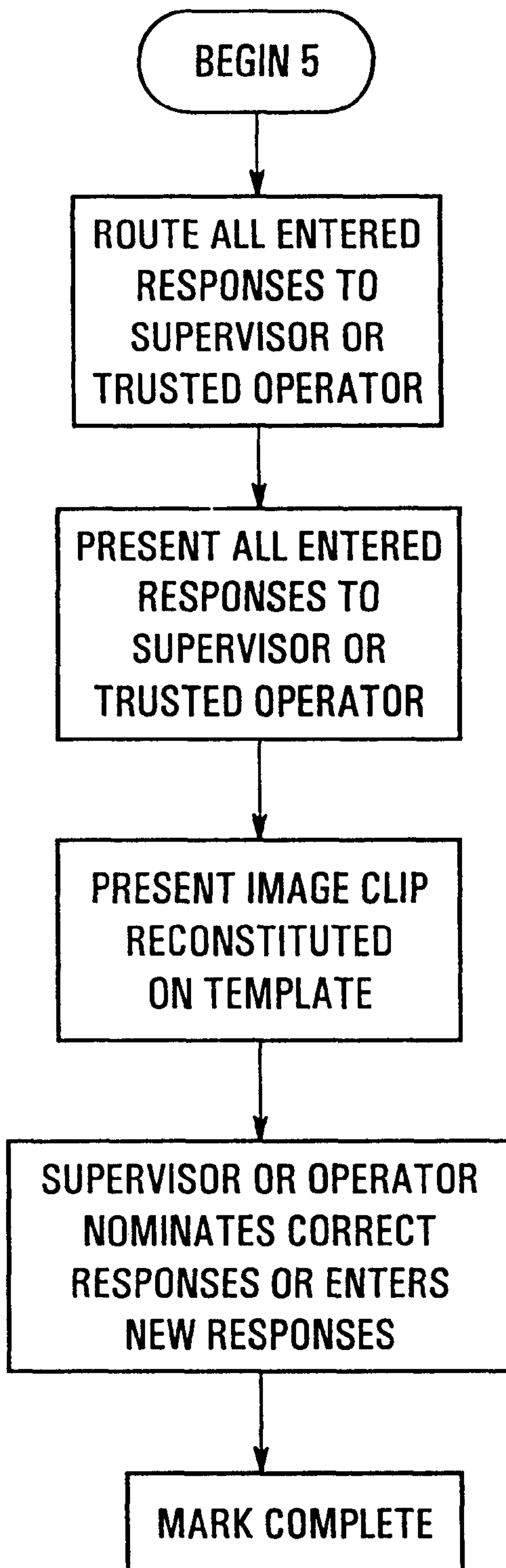


FIG. 9

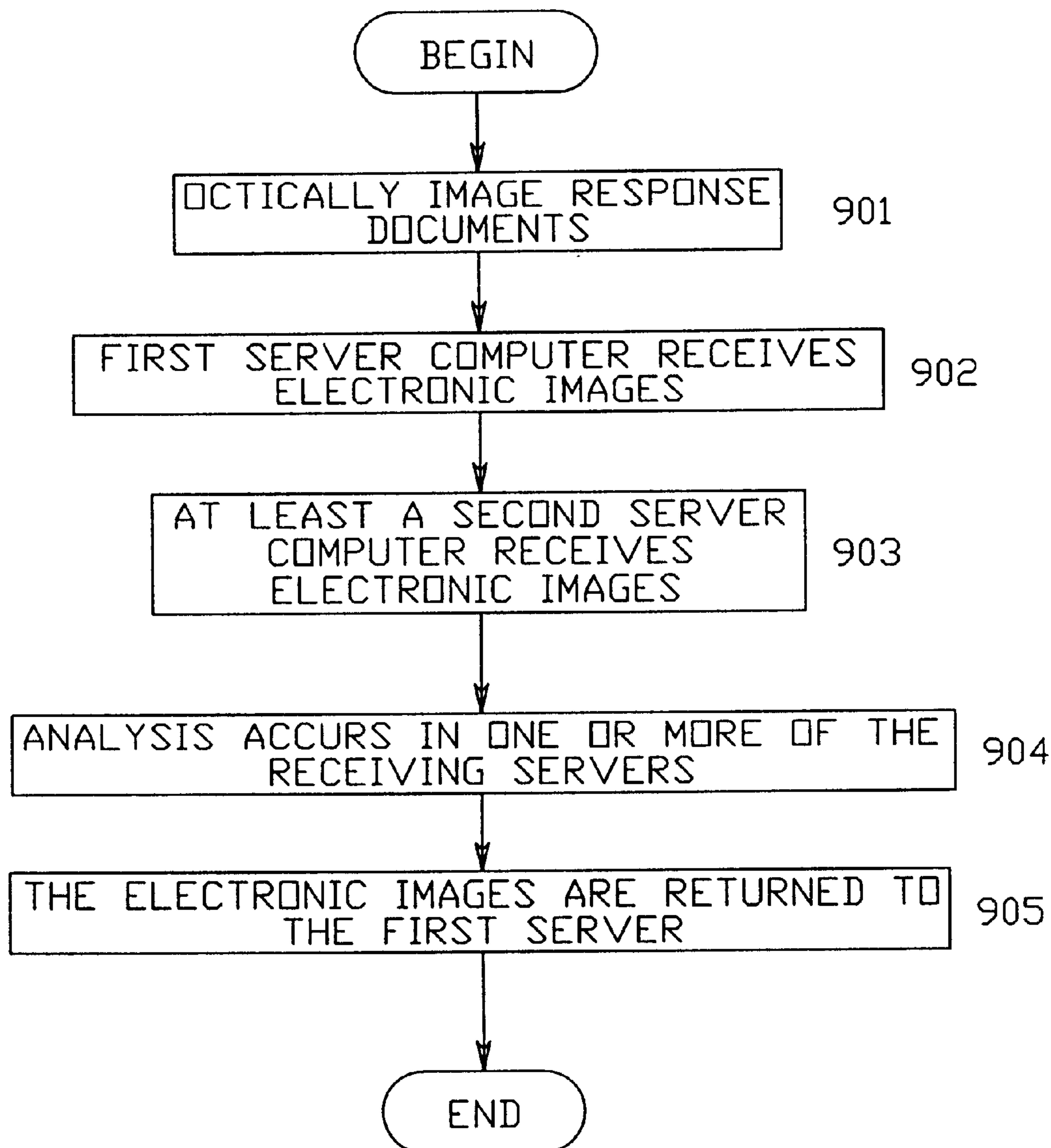


FIG. 9A

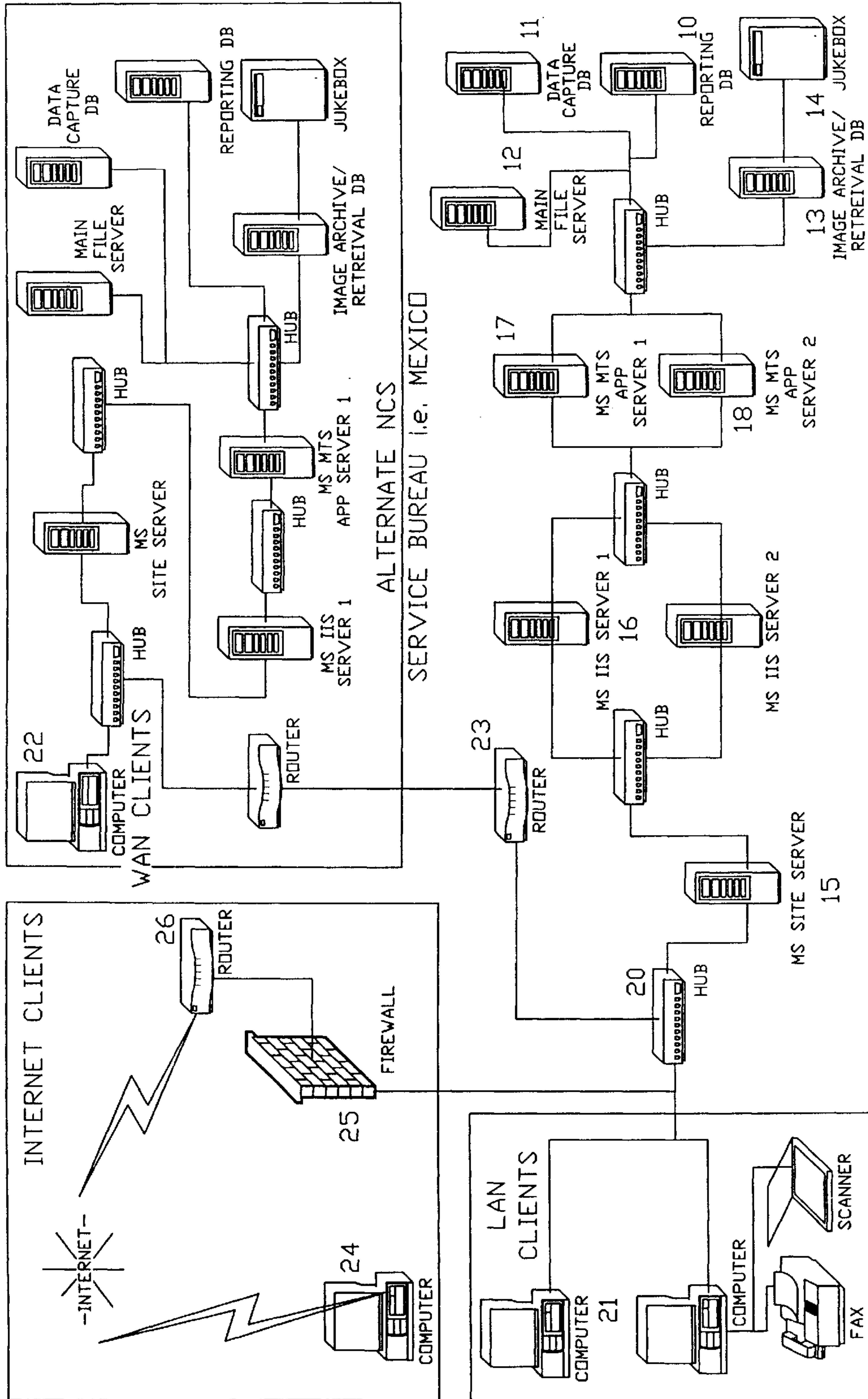
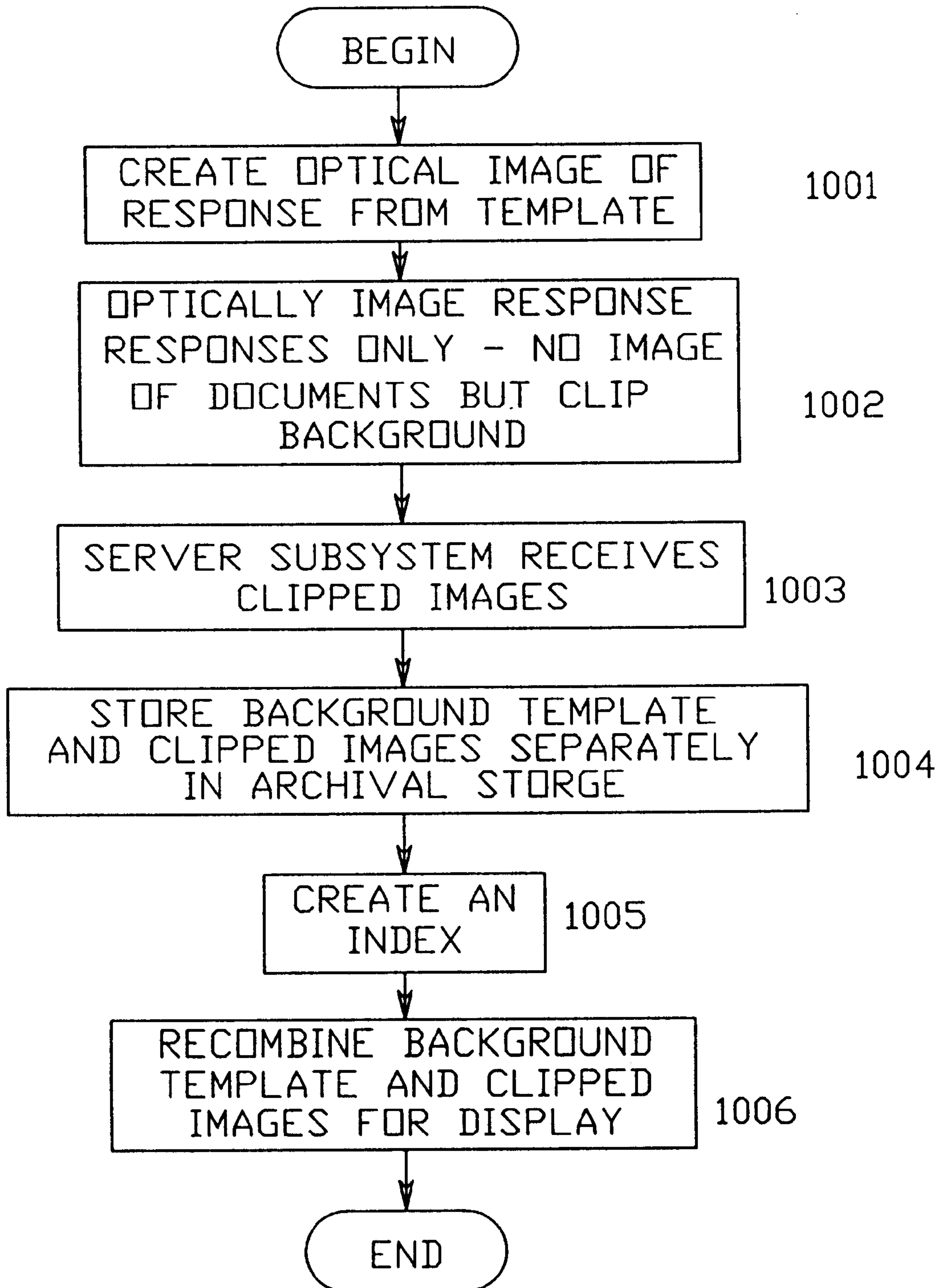


FIG. 10





## PRE-DATA-COLLECTION APPLICATIONS TEST PROCESSING SYSTEM

### FIELD OF THE INVENTION

The present invention relates to a system and method for determining which of a plurality of pre-data-collection software applications to apply to optically imaged test question responses in a test processing workflow system that utilizes a plurality of optical imaging device types.

### BACKGROUND OF THE INVENTION

The scoring of test question responses that cannot be scored by machine is typically carried out manually or by presentation on a computer monitor. Manual scoring involves a human manually scoring a physical test question response sheet. Scoring by presentation to a human of the test question responses using a computer involves scoring an electronic representation of the test question response or responses presented to a scorer via a computer monitor or other machine that can be programmed to manipulate symbols. It is the latter scoring procedure to which the present invention relates.

In order to present a test question response to a scorer viewing a computer monitor, several preparation steps typically occur to enable the scorer to receive the test question response, view it, score it and record the score with the necessary precision, speed and accuracy required in the test scoring industry. With test processing that analyzes optically imaged test question responses, scanners, facsimile machines and other optical imaging devices known to those skilled in the art are used to create an electronic image of the test question response that was provided by a test taker. The electronic images may be broken down into smaller images generally referred to as image clips. The electronic images and image clips may be stored in a computer or other storage media known to those skilled in the art. Multiple optical imaging devices of varying types are often used in a distributed test processing system. The electronic images and image clips typically are converted to data using well known and commercially available optical character recognition software, image character recognition software and other similar computer programs. The data or images, or both, can then be utilized in a number of ways to aid the test scoring process.

Certain problems arise, however, when a plurality of optical imaging devices of varying types are used to image test question responses. Depending on the type of optical imaging device used (e.g., intelligent scanner, non-intelligent scanner, facsimile machine, etc.), one or more of a plurality of pre-data-collection software applications are typically applied to the electronic images prior to performing data collection. Distributed test processing workflow systems need a method to determine which one or more of the plurality of pre-data collection software applications will be applied to each electronic image.

### SUMMARY OF THE INVENTION

The present pre-data-collection software determination system and method determines which of a plurality of pre-data-collection software applications are to be applied to electronic images of test question responses depending upon the optical imaging device type used. An optical-imaging-device-type command is generated for indicating to a server subsystem the particular type of optical imaging device

being used to capture, as electronic images, the test question responses. A pre-data-collection software command is also generated for indicating to the server subsystem which one or more of the plurality of pre-data-collection software applications is/are to be applied to the electronic images. The pre-data-collection software and optical-imaging-device-type commands and a plurality of electronic images are received in the server subsystem. The server computer then electronically selects from the plurality of pre-data-collection software applications to apply to the plurality of received electronic images based upon the optical-imaging-device-type command and the pre-data-collection software command. The pre-data-collection software applications are applied to the received electronic images within the server subsystem system.

### BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 is a hardware diagram of a distributed workflow system as possible using the claimed inventions.

FIG. 1A is a three tier architecture view exemplary of the type used in the claimed inventions.

FIG. 2 is a block diagram of a portion of the network shown in FIG. 1.

FIG. 3 is a block diagram of the scanning configuration in the network of FIG. 1.

FIG. 4 is a block diagram of a portion of the network of FIG. 1.

FIG. 5 is a flow chart of receiving and processing of response items.

FIG. 6 is a flow chart of one embodiment of the workflow tracking invention.

FIG. 7 is a flow chart of one embodiment of the pre-data-collection applications invention.

FIGS. 8, 8A, 8B is a flow chart of one embodiment of the verification invention.

FIG. 9 is a flow chart of one embodiment of the multiple server response processing invention.

FIG. 9A is a block diagram of one embodiment of the multiple server response processing invention.

FIG. 10 is a flow chart of one embodiment of the image archive invention.

### DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

#### General Overview

The present invention pertains to a response document processing workflow system. Response document processing is often employed in the test grading and survey analysis industries. By way of explanation, but not limitation, a need has developed in the response document processing industry to process more documents, faster, with better accuracy and less expensively than ever before. Electronic imaging has become very popular in the response document processing industry given the flexibility, speed and efficiency gained through the use of electronic images over paper documents. Scanners are one popular type of optical imaging device; another is the facsimile machine. The increased volume of documents to be processed, and the quicker turn-around time, requires the combination of multiple scanners, multiple processing units and multiple operator stations working in parallel or in series to quickly finish a processing job. A network is often employed to couple the various hardware components. The networked response processing workflow system described below satisfies the above described needs.



The beginning of a response processing project or “job” may occur well before the documents containing the responses are received at a response processing center. For example, customer or respondent information such as name, mailing address, identification number, and other personalized information may be printed onto response forms, such as test forms or survey forms. The personalized forms may then be provided to a customer or directly to a response provider with or without a personalized cover letter. The above is accomplished by populating and maintaining a database or other electronic storage system with personalized information necessary for personalization of the response forms.

Whether the response documents received at the response processing center are those that were personalized or not, it is critical that all documents received are processed and accounted for. An audit trail is therefore started at document receipt time. The processing center will collect the documents in pre-selected quantities or batches. A batch header document containing a unique bar-code batch number or other similar machine readable identifier will be assigned to each batch of documents.

The documents will be optically imaged at the processing center in one batch or subdivided into smaller batches and imaged sequentially. Multiple processing centers may be used to meet customer needs. While scanning is the preferred method of optical imaging, facsimile and other optical imaging devices known to those skilled in the art may be used to create an electronic image. After imaging, the physical documents typically are stored in a warehouse, their location identified through the unique bar-code batch number or other machine readable identifier on the batch header.

Several steps may be required prior to collection of data from the electronic image taken from each document. For example, image enhancement and image identification are available applications that may be implemented prior to data collection. Data collection or recognition is accomplished using one or more recognition technologies, for which an interface is provided in the system. The system must be flexible enough to handle responses in many different languages and disciplines. Because accuracy is critical in testing and response imaging, human verification may be applied to any data derived from electronic images that is invalid or uncertain. The customer may require multiple verification. In such a case, if the system detects a discrepancy between the values of the verified data, the image and the data values are automatically sent to a third adjudicator for resolution (adjudication). In an alternative embodiment, a double adjudication embodiment, the data values are automatically sent to a third and fourth adjudicator for resolution. If the adjudicators disagree, the image is sent to a manager or other NCS official for final determination.

After the data has been verified, it may be sent to other systems for processing consistent with tests, such as grading; surveys, such as tallying; or other processes known to those skilled in the art.

Although electronic storage capabilities have helped lower operating costs, the need remains to minimize the cost of storing electronic images. An image archive component of the workflow system is provided. It can be appreciated that the archives will play an important role in the event that a dispute arises over the accuracy of data from an imaged response or test. Further, imaged archives can be accessed by customers wanting to view the original scanned document for any number of reasons.

#### Hardware Overview

FIG. 1 illustrates an example of a hardware configuration for the present response document processing system. This configuration is shown as an example only; many different hardware configurations are available for implementing the response processing functions described below, and others will become available as hardware technology advances, as recognized by those skilled in the art. The network shown is generally described as a three tier or three layer architecture, (See FIG 1A for more detail on three tier architecture) including a bottom tier or data layer of at least one server computer. The data layer may include a server subsystem including several servers as shown in FIG. 1 at 10–13. Separate servers may be used for such tasks as maintaining a report database 10, a data capture database 11, a local area network server 12, archived images database 13 and a “jukebox” 14—a hardware mechanism for allowing access to one of a group of discs, especially CD-ROMs or other storage media. The data layer of the hardware system is interfaced with a middle tier or business objects layer.

The business objects layer provides process management where business logic and rules are executed and can accommodate hundreds of users (as compared to only 100 users with a two tier architecture—also usable in the present system) by providing functions such as queuing, application execution, and database staging. In FIG. 1 the business objects layer includes a site server 15 interfaced through a hub computer and a site server 16 to application servers 17 and 18. The application servers in the preferred embodiment utilize Microsoft’s Transactional Server software. The business objects layer interfaces through hub computer 20 to a presentation layer or top tier. The presentation layer of the preferred embodiment includes computers 21 interfaced to the system via a local area network or LAN, a computer 22 and a router 23 interfaced to the system via a wide area network or WAN and a computer 24 interfaced to the system via the Internet or other global computer network. The internet connection also includes a firewall 25 and router 26. The optical imaging devices 27 (a scanner and facsimile machine) are shown in this embodiment coupled to client computers 21. In an alternative embodiment, the optical imaging devices shown, a scanner or facsimile machine 27 may be coupled with computers 22 or computer 24.

The system uses the optical imaging devices 27, usually scanners, in the presentation layer to optically image responses provided by respondents on questionnaires, surveys, tests or other similar response documents on which responses are received. These response documents may comprise, for example, test forms with “bubbles” or ovals representing possible answers to test questions, handwritten essays, survey responses, or other various types of written or printed or marked information provided by the respondent. After receiving the optically imaged responses, the system can prepare those electronic images for subsequent processing, such as test grading or survey analysis. A response item is, therefore, an electronic representation of at least a portion of a questionnaire, legal document or response document, including, but not limited to, a test form with answers, a contract or a survey. The system and methods described below are then employed to process the response items such that they are prepared for subsequent online analysis. See, for example, U.S. Pat. Nos. 5,752,836; 5,735,694; 5,718,591; 5,716,213; 5,709,551; 5,690,497; 5,321,611; 5,458,493; 5,433,615; 5,437,554; 5,466,159; 5,452,379; 5,672,060; 5,987,149; and 5,558,521 describing online training, scoring, teaching and reporting systems and



methods. See also, U.S. Pat. Nos. 5,711,673; 5,420,407; 5,262,943; 5,262,624; 5,184,003; 5,134,669; 5,086,215; 4,934,684; 4,857,715; and 4,217,487. The patents listed above, specifically their specifications and drawings, are incorporated herein by reference to further supplement and explain the present invention.

The system must be capable of supporting various types of optical imaging devices, such as intelligent scanners like the NCS 5000i and non-intelligent scanners that utilize the Kofax/ISIS/TWAIN interface. The client subsystem computers **21**, **22** and **24** typically initially receive the response items and may distribute them to the business objects layer server subsystem before sending them to the data layer server subsystem for storage, archival or other processing. For example, a response document optically imaged by the scanner **27** will be assigned a unique file name and digital identifier at the client subsystem computers **21**, **22** or **24**, then sent via the business objects layer server subsystem to the data layer server subsystem for storage and further processing using the system and methods described below. It is also possible for servers **10–13** to transfer the response items via a global, local or other network known to those skilled in the art to another server subsystem in a remote location. The ability to share the response items with another server subsystem makes work sharing and efficient use of resources available and practical. The servers may be in the same physical area as one another or separated by great distances, such as between different countries or continents. For example, the advantages of different time zones can be utilized using multiple servers and work sharing so as to avoid down time and delay in processing the customer's project.

FIG. **2** is a more detailed block diagram of a portion of the network shown in FIG. **1**. As shown in FIG. **2**, the optical imaging device **27** shown in FIG. **1**, is typically a scanner **27** interfaced to a computer **28** or client subsystem computers **21**, **22** or **24**. The scanner **27** contains a camera **29** for reading through optically imaging all or portions of a response document. For example, using "clipping" to read individual responses on a response documents or reading all the responses including all or some of the document background of the response document (full page imaging).

FIG. **3** shows a more detailed block diagram of a typical scanning unit. Some scanners have camera optics and filter configurations that are optically "blind" to certain colors, typically called drop-out colors. As the scanner cannot see these colors and normally these colors constitute the response form background or template that the scanner will not capture the background of the form within the electronic image.

One or more client computers **21**, **22** or **24**, preferably implemented with the most current high performance computer chip and memory, usually contain a frame buffer **251** for receiving the scanned image data from the scanner **27**. The computer **28**, which is optional, is typically interfaced to the scanner **27** and client computers **21**, **22** or **24** for controlling the operation of the optical imaging device, in this case the scanner **27**. The system may alternatively be configured such that all of the functionality of the computer **28** is with client computers **21**, **22** or **24**. The computer **28**, if used, controls the scanner and thus controls when image data is scanned in and subsequently transferred to client computers **21**, **22** or **24**. The client computers essentially act as a buffer for temporarily holding the image data. The client computers can also "clip" areas of interest from the electronic image. Clipping involves electronically removing, typically in software, a portion of the response item or

scanned image. These clipped areas may comprise any portion of a response item: e.g., a handwritten essay or selected response positions. For example, if scanner **27** is an intelligent scanner such as the NCS 5000i, "clipping" of an area of interest from the image during scan time and representing at least a portion of the scanned response is possible. Examples of two systems for storing and extracting information from scanned images of test answer sheets are shown in U.S. Pat. Nos. 5,134,669 and 5,103,490, both of which are assigned to National Computer Systems, Inc. and are incorporated herein by reference as if fully set forth.

FIG. **4** is a block diagram of the hardware and software functions in a server in the network of FIG. **1**. A scan control module **31** interfaces with client computers **21**, **22** or **24** and receives the image data. The image data is stored in a raw item database **36**. For example, a SQL compliant industry standard relational database such as Microsoft SQL Server, may be used. The system typically further utilizes open systems architecture such as ODBC, to provide the database access mechanism. In an alternative embodiment, an entry level database is utilized thus removing the cost of a database such as Microsoft SQL Server. The central application repository (CAR) **33** typically stores document definitions and handling criteria. The document process queue **37** function as a buffer into a main processing module **45** preferably in servers **10–13**. The main processing module **45** controls the processing of response items. It controls the transmission of response items to client computers **21**, **22** and **24**.

#### Software Overview

Although many programming languages and classes may be utilized to carry out the present inventions, one of the preferred embodiments uses object oriented programming. Object oriented programming includes writing programs in one of a class of programming languages and techniques based on the concept of an "object" which is a data structure encapsulated with a set of routines, called "methods" which operate on the data. (See FIG. **1A**). Operations on the data can only be performed via these methods, which are common to all objects that are instances of a particular "class." Thus the interface to objects is well defined, and allows the code implementing the methods to be changed so long as the interface remains the same. For example, an Unknown interface is shown in FIG. **1A**. Each class is a separate module and has a position in a class hierarchy. Methods or code in one class can be passed down the hierarchy to a subclass or inherited from a superclass. Procedure calls are described in terms of message passing. A message names a method and may optionally include other arguments. When a message is sent to an object, the method is looked up in the object's class to find out how to perform that operation on the given object. If the method is not defined for the object's class, it is looked for in its superclass and so on up the class hierarchy until it is found or there is no higher superclass. Procedure calls always return a result object, which may be an error, as in the case where no superclass defines the requested method. FIG. **1A** represents one overview of the object oriented programming structure of the present invention. Others object oriented programming structures are contemplated and utilized.

FIG. **5** is a flowchart of a general overview of typical scanning and processing of response forms and responses. The document processing center receives the response sheets or other documents, at step **50** and performs initial clerical preparation of the documents at step **51** prior to scanning. For example, if the documents received include a



digital identifier in the form of a bar code or other machine readable format, the digital identifier is read into the system using a barcode reader or other similar technology known to one skilled in the art. In an alternative embodiment, the documents received do not include a digital identifier. In the latter scenario, the receiver of the documents may manually organize the received documents into predefined groups or batches. Such batches are a collection of documents, or the electronic images and/or data derived from the documents, organized in some relational manner. For example, a university customer may request that all response sheets from freshman test takers comprise a batch separate from the response sheets from sophomores. Batches may include sub-batches. For example, the freshman batch may be further divided by the sex of the student/respondent.

The system at step 52 scans the documents comprising one batch or a sub-set of one batch. The system is designed to accommodate various types of optical imaging devices, as disclosed above. If the scanner is capable, the system may process the OMR bubbles at step 53, during scan time, and store the data derived from "reading" the OMR marks in the work-in-process storage (WIP) at step 54. The system at step 56 can "clip" areas of interest from the document, again during scan time, saving data derived from the image in the WIP 54. The clipped image is saved as an image file in server 10 or client computer 12. The step of "clipping" involves electronically copying a portion of the scanned image. This can be done at scan time using an intelligent scanner or later if a non-intelligent scanner is used. These "clipped" areas may comprise any portion of a response sheet; for example a handwritten essay, machine printed name or graphical response such as a mark or drawing. The system may also receive image data directly from foreign sources, magnetic or electronic, and store the data in raw item database 36. Subsequent operations on the data are the same regardless as to the source of the data. After "clipping" areas of interest from the image, the system stores the response items at step 57 in the WIP 54 or transfers the response items to the server 10 for storage.

The system can run on any computer using a standard operating system such as Microsoft Windows or NT. The server subsystem typically operates Microsoft Transaction Server (MTS) and Microsoft Internet Information Server (IIS 4.0) connecting through ActiveX Data Access Object (ADO) to connect to either MS SQL Server or MS Access (on NT Server) or Oracle (on NT or UNIX) for the database.

It has been found that if the scanner 27 coupled to the client subsystem is an intelligent scanner such as the NCS 5000I, the client computer PC runs well using Windows NT. For programming and support efficiency, a standard object oriented programming language such as C++, MFC or Visual Basic are recommended. However, one skilled in the art will appreciate that almost any programming language can be used to accomplish the present invention. It preferably is also part of the present software to utilize the Internet as well as private Intranets and the flexibility of browsers such as Netscape Navigator and Microsoft Internet Explorer.

Prior to providing the electronic images to human resolvers for online grading or analysis, steps 58-63, the system performs additional preparation processes, described in detail below, to ensure the identity of the image, the quality of the image to be presented, the relationship of the image to the original document from which it was imaged, the accuracy of data derived from the document imaged and the archival storage of the images for future use or reference or both.

#### Response Processing Workflow Tracking System And Method

FIG. 6 is a flowchart of a preferred embodiment of the response item workflow tracking and organization invention.

A human administrator, in steps 601, 602 and 603, inputs information into a system database via a user interface. In step 601, information about the optical imaging device(s) to be used in imaging the response documents is entered. Such information may include optical imaging device identifier and interface type. Information pertaining to the document types to be imaged is entered in step 602. Document information is preferably obtained by capturing an electronic image of a blank response form and a combination of commercially available and bespoke software to define document attributes such as regions of interest. In step 603 information specific to the particular job or project to be undertaken, including, but not limited to, a narrative about the customer, workflow rules, customer logic and machine readable identifier, is entered by the human administrator. The above steps can, but are not required to, occur before receipt of the response documents provided by respondents which occurs at 604.

The documents received, and to be imaged, are assembled by the human administrator, step 605, into batches or groups of a suitable size for processing consistent with the customer's needs. In an alternative, batches may be defined by the customer and if of a non-suitable size, may be divided into smaller sub-batches to facilitate imaging. In step 606, it is determined whether the documents received at the processing center include a machine readable identifier ("MRI"). A MRI may include a bar code or other similar machine readable number or code. If a MRI is included on the documents to be imaged, the administrator will input batch information into the system, step 607, excluding the number of documents in the batch. Batch information may include text including a batch name, an optional batch name provided by the customer and an optional narrative text string. Using a bar code "reader" or other similar device, the MRIs will be read and entered into the system database at step 608. In step 609, the documents are counted using the machine readable identifier and the number of documents to be imaged is stored in a system database. The system generates, at step 611, a unique bar-code batch identifier for each batch assembled and prints a batch header document that includes the unique bar-code batch identifier as well as the batch information described above.

If the documents do not include a machine readable identifier, step 610, a human administrator manually counts and inputs the number of documents in the batch to be imaged as well as the batch information described above. The system generates, at step 611, a unique bar-code batch identifier for each batch assembled and prints a batch header document that includes the unique bar-code batch identifier as well as the batch information described above.

In step 612, the documents are optically imaged using scanner, facsimile machine or other optical imaging device known to those skilled in the art. Scanners can be grouped in two general categories: intelligent and non-intelligent scanners. It is a significant aspect of the system and method described herein to be adaptable to a variety of optical imaging devices, including scanners. If an intelligent scanner, such as the NCS 5000i, is used to electronically image the documents, the system will "clip" data or images, step 613, from certain regions of interest on the response document. Preferably, only the data or response image is captured, and the response document background is not captured. More than one "clip" may be taken from a document. In step 613, one multiple image file containing all the image clips from one document is created. In one preferred embodiment, the images are in tag imaged file format (TIFF). A custom tag typically is utilized that con-



tains an individual digital identifier (IDI) that uniquely identifies the image clip. The IDI contains the information about the image that the system requires for subsequent display in the correct context. Typical items included in the IDI are position coordinates and form identification. The system then stores any data derived from the image clips in a database, step 614. Storing the IDI in the tag of the image, rather than in an associated database, permits faster retrieval of the data when the image needs to be displayed. It has the added benefit of avoiding any risk of the image becoming separated from the relevant data.

If a non-intelligent scanner is used, the scanner typically produces an image file for each page of the document; one image per page side, step 615. Interpretation of the data typically is not performed by a non-intelligent scanner. In step 616, the image is stored in files, a separate directory is created for each batch of documents.

#### Pre-Data Collection Preparation Of Responses

FIG. 7 is a flowchart of the preferred embodiment of the pre-data collection system and method applied to electronic images of responses in the processing workflow system. The pre-data-collection applications are used to effect various tasks upon the electronic images desired for subsequent data collection. For example, an electronic image of a response may require "cleaning" via commercially available software to improve the electronic image from which data will be captured. In step 701 a human administrator generates an image-device-type command informing the system of the type of optical imaging device to be used to create electronic images of the responses. Optical imaging devices include scanners, facsimile machines and other devices known to those skilled in the art that can convert an image into binary data. This preferred embodiment utilizes an optical imaging device that outputs binary data in a tagged image file format (TIFF). Upon selecting an optical imaging device type in step 702, the system receives a command informing it of the optical image device type to be used to electronically capture the test question responses as electronic images. The word "command" is meant in the broadest possible interpretation to include a character string that tells a program to perform a specific action or supply input information. Specifically, the word "command" includes menu items as commands.

In step 703, the human administrator is asked to select which of a number of pre-data-collection software applications are to be applied to the electronic images of test question responses. Pre-data-collection software includes any software application that may be applied to an electronic image. In the preferred embodiment, pre-data-collection software applications include software programs with the ability to recognize handwriting, software programs with the ability to read a barcode, software applications with the ability to identify an image as belonging to a particular set of images, and software applications with the ability to remove from electronic images noise and superfluous lines without removing characters, as well as other software applications known to those skilled in the art of digitizing an optical image into an electronic image represented as binary data. Upon selection of the same, the system is updated via a pre-data-collection command informing it of the pre-data-collection software applications to be applied.

In step 704, the system begins to receive electronic images of the test question responses via the optical imaging device. The output of the optical imaging device is binary data and preferably, binary data capable of storage in tagged

image file format (TIFF). The electronic images of test question responses are received in the server subsystem at step 705. The system then determines which one or more of the plurality of pre-data-collection software applications to apply to the received electronic images based upon the optical-imaging-device-type-command and the pre-data-collection software command, step 706. In this described preferred embodiment, after determining which of the plurality of pre-data-collection software applications to apply to the electronic images, the received electronic images are returned to the client computer system at step 707. The selected pre-data-collection software applications are applied sequentially to the returned electronic images in step 708.

Typically, the output from applying one or more of the plurality of pre-data-collection software applications will be stored in the server subsystem, step 709. For example, an electronic image that has been cleaned of noise and superfluous lines without removing actual characters will be saved as an electronic image separate from the electronic image to which the pre-data-collection software application was applied. Similarly, the data returned from reading a barcode or identifying an image as belonging to a particular set of images would be saved in the server subsystem.

Following application of the pre-data-collection software programs, in step 710, one or more data collection software applications typically then are applied to the returned electronic images. Data collection software applications include intelligent character recognition, optical character recognition and other software applications that recognize printed or written characters by a computer. Such programs are well known to those skilled in the art of image processing and character recognition. The text file or other similar data generated from the application of data collection software is stored in the server subsystem at step 711.

In an alternative embodiment, the application of the pre-data-collection software program occurs in the server subsystem rather than the client computer system. Such an embodiment saves the step of returning the received electronic images to the client computer system; however, any benefit is offset by the usage of the server subsystem resources to apply the pre-data-collection software applications in the server subsystem.

#### Test Question Response Verification System And Method

FIGS. 8 and 8A are flowcharts of one preferred embodiment of a test question response verification system and method. Typically electronic images of test question responses can be divided into image clips, where an image clip is an electronic image smaller than a full-page image. Data is then typically converted from a binary representation of the image clip using image recognition techniques such as intelligent character recognition, optical character recognition or other character recognition and image processing programs known to those skilled in the art. As recognized by those skilled in the art, character recognition involves complex image processing algorithms and rarely achieves 100 percent accuracy. Accordingly proofreading or verification is recommended.

The system at steps 801 and 802 determines if data derived from electronic images having undergone character recognition requires verification. At step 803, the system has determined that verification is needed and contemporaneously determines how many times each item must be independently verified. Typically a human administrator pre-



determines the number of independent verifications any data requires. The system can be programmed to apply one or more verification passes to particular items. Each verification pass is an independent verification of the accuracy of the data converted from an electronic image. If only one verification pass is to be carried out, the system retrieves the data to be verified from the server subsystem at step **804** and makes the data available in a work queue at step **809**.

If more than one verification pass is required, in addition to retrieving the data to be verified and placing the same in a work queue at steps **804** and **809**, the system creates an empty field for each verification pass greater than one at step **805**. For example, if three verification passes are required of a particular item, the system will create two empty fields for verification passes **2** and **3**. The system then retrieves an image of the information at step **806** that was converted into data at step **804**. The system sends the images to work queues, one queue per each verification pass at step **809**. The system then holds the data and images in work queues at step **809** until an editor logs into the server subsystem.

Step **820** of the system provides to a human editor a list of options available from which to select using a graphical user interface. One of the selections available includes verification. The human editor logs on to the system at step **821**. At step **822** the system determines if the login procedure has been complied with by the human editor. If not, at step **823**, the human editor is logged out of the system. If the login is accepted, at step **824**, the editor is presented with a choice of particular editing jobs from which to select. A job, for example, may be a particular set of tests or surveys or questionnaires provided to NCS for processing. The jobs presented to the human editor are limited to those matching information known with the particular human editor. Once the particular job is selected, the system processes information related to each image clip against information pertaining to the particular skills of the human editor. In step **826**, the system determines whether the human editor will be verifying an item undergoing only one pass of verification at step **826**. If the item is only undergoing one pass of verification, at step **827**, the system presents to the human editor selected image clips recompiled into coherent image portions such that the human editor sees on his or her computer monitor the complete background of a test form but only the selected images clips corresponding to material necessary for verification, typically the selected image clip and the corresponding data.

If the human editor is verifying an item undergoing more than one verification pass, the system at step **828** presents an image only to be verified. The human editor then records a decision based on his or her observation of the accuracy of the material presented in step **829**.

In step **831** the data verified is submitted to a compare queue. The system determines the number of verification passes the data underwent at step **832**. If the data was subject to only one verification pass, then there is nothing with which to compare it and the data is marked complete at step **839**. If however the data was subject to more than one verification pass, then all the decisions entered by the human editor in step **829** are compared in step **835**. In step **836**, the system determines if all the decisions entered by the human editors are the same, and if they are the same the data is marked complete at step **839**. If however, the system determines that all the decisions entered by the human editors are not the same at step **836**, the system routes all entered decisions to an adjudication process.

#### Multiple Server Processing Workflow System And Method

FIG. **9** is a flowchart that describes the multiple server test processing workflow system and method. At step **901** docu-

ments containing test question responses are optically imaged. The optically imaged test question responses are received by a server computer, at step **902**, coupled to the client computer system that includes the optical imaging device. In an alternative embodiment, the server or servers that receive the optically imaged test question responses may not be the server computer coupled to the client computer that includes the optical imaging device. The receiving server computer may or may not store electronic images. In step **903** the system distributes from the receiving server computer to at least a second one of the plurality of server computers all or a portion of the received electronic images. The server computer or computers to which the received electronic images are distributed may or may not store the electronic images. In step **904** the electronic images are analyzed in one or more of the receiving server computers. It is further contemplated that the analysis step may occur not only in one of or all of the server computers but also may occur in one of or all of the client computers coupled to a particular server computer. The computer or computers which perform the analysis of the electronic images may return to the work flow system results for collation with other test question response analysis results, see step **905**.

In an alternative embodiment, the receiving server computers are configured to analyze particular test response subject matter including particular human languages or particular fields of study such as math, science or subjects that may benefit from test processing personnel having particular skills related to the subject matters.

#### Archiving Electronic Images Of Responses

FIG. **10** is a flowchart of the preferred embodiment of the test workflow image archive invention. In step **1001**, an optical image of the test form template is created and stored in the server subsystem. In step **1002**, the optical imaging device "clips" selected portions of a test question response from a test taken by a test taker generating an electronic representations of the test question responses. Typically, the output of the optical imaging device is in tagged image file format (TIFF); however, other formats may be used such as JPEG, BMP, etc. In step **1003**, the server subsystem coupled to the optical imaging device receives the electronic representation of the test question responses and stores the same. Typically, the electronic representations of the test question responses are saved on a magnetic medium such as a computer disk, magnetic tape or other storage medium known those skilled in the art. To minimize the use of expensive archival resources, the test form template and electronic representation of test question responses are transferred to an archival storage medium and stored separately, step **1004**. The archival storage media includes magneto-optical disks, optical disks and other storage media known to those in the art as suitable for archiving electronic images. An electronic index is generated in step **1005**, where the index links the test form template to the electronic representations of electronic images—now both stored on the archival medium. The index is typically a relational database that allows the definition of data structures, storage and retrieval operations and integrity constraints. In such a database the data and relations between them are organized in tables. A table is a collection of records and each record in a table contains the same fields. Certain fields may be designated as keys, which means that searches for specific values of that field will use indexing to speed them up. The fields typically correspond to fields selected by a human operator to correspond with particular areas of interest in the test.



When a user selects one of the archived items listed on the electronic index, step **1006**, the server subsystem electronically creates at display time to the user an integrated electronic representation of the completed test, step **1006**, prepared by the test taker by recompiling electronically the electronic representation of the test form template with the electronic images of the segregated test question responses. The user is then able to observe an electronic representation of the test taken by the test taker, typically on a computer monitor.

In an alternate embodiment, the recompiling electronically of the electronic representation of the test form template with the electronic images of the segregated test question responses occurs prior to storage on the archival medium, step **1015**. In step **1016**, the recompilation step is often accomplished in the same server in which the electronic images of the segregated test question responses and test form template are stored. Optionally, recompilation occurs in a different server computer or even in a client subsystem. An image compression algorithm, such as JPEG, can be applied to the recompiled integrated electronic representation of the completed test prepared by the test taker, step **1017**. The integrated electronic representation of the completed test prepared by the test taker is then stored, step **1018**, in a storage media suitable for archival purposes such as magneto-optical disks, optical disks and other storage media known to those in the art. An electronic index is generated in step **1019**, where the electronic index can access the integrated electronic representation of the completed test stored on the archival medium. The index is typically a relational database as described above.

When a user selects one of the electronic index selections, step **1020**, the integrated electronic representation of the completed test is accessed and may be presented to a human observer using a computer monitor. A browser installed on the computer coupled to the monitor viewed by the human observer will be able to display integrated electronic representation of the completed test and facilitate navigation from one page to the next if the test has multiple pages.

What is claimed is:

**1.** In a computerized test processing workflow system configured for analyzing electronic images of test question responses provided by a test taker, the system comprising a server subsystem having at least one server computer, a client subsystem having at least one client computer, and at least one of a plurality of types of optical imaging devices for electronically capturing the test question responses, wherein each particular client computer system has a user interface, a method for applying at least one of a plurality of pre-data-collection software applications depending upon the imaging device type, the method comprising:

- a. generating an optical-imaging-device-type command at any particular client computer for indicating to the coupled server subsystem the particular type of optical imaging device being used to capture the test question responses as electronic images;
- b. generating a pre-data-collection software command at the particular client computer system for indicating to the server subsystem which one or more of the plurality of pre-data-collection software applications to apply to the electronic images;
- c. receiving a plurality of electronic images from the particular client computer system and corresponding optical imaging device;
- d. based upon the optical-imaging-device-type command and the pre-data-collection software command, elec-

tronically selecting which one or more of the plurality of pre-data-collection software applications to apply to the plurality of received electronic images; and

- e. applying at the particular client computer system the selected one or more pre-data collection software applications to the plurality of received electronic images;
- whereby distributed optical imaging devices of various types coupled to client computers may be effectively employed for data imaging while permitting effective data collection after selected pre-data-collection software applications have been applied according to the type of optical imaging device used at any particular imaging site.

**2.** In a computerized test processing workflow system configured for analyzing electronic images of test question responses provided by a test taker, the system comprising a server subsystem having at least one server computer, a client subsystem having at least one client computer, and at least one of a plurality of types of optical imaging devices for electronically capturing the test question responses, wherein each particular client computer system has a user interface, a method for applying at least one of a plurality of pre-data-collection software applications depending upon the imaging device type, the method comprising:

- a. receiving at the server subsystem an optical-imaging-device-type command indicating the particular type of optical imaging device being used to capture the test question responses as electronic images;
- b. receiving at the server subsystem a pre-data-collection software command indicating which one or more of the plurality of pre-data-collection software applications to apply to the electronic images;
- c. receiving a plurality of electronic images at the server subsystem and from the optical imaging device;
- d. based upon the optical-imaging-device-type command and the pre-data-collection software command, electronically selecting which one or more of the plurality of pre-data-collection software applications to apply to the plurality of received electronic images; and
- e. applying the selected one or more pre-data collection software applications to the plurality of received electronic images using a server component;

whereby distributed optical imaging devices of various types coupled to client computers may be effectively employed for data imaging while permitting effective data collection after selected pre-data-collection software applications have been applied according to the type of optical imaging device used at any particular imaging site.

**3.** In a computerized test processing workflow system configured for analyzing electronic images of test question responses provided by a test taker, the system comprising a server subsystem having at least one server computer, a client subsystem having at least one client computer, and at least one of a plurality of types of optical imaging devices for electronically capturing the test question responses, wherein each particular client computer system has a user interface, a method for applying at least one of a plurality of pre-data-collection software applications depending upon the type of scanner, the method comprising:

- a. generating a scanner command for indicating to the server subsystem the particular type of scanner being used to capture the test question responses as electronic images;
- b. generating a pre-data-collection software command for indicating to the server subsystem which one or more of the plurality of pre-data-collection software applications to apply to the electronic images;



- c. receiving a plurality of electronic images at the server subsystem and from the scanner;
- d. based upon the scanner command and the pre-data-collection software command, electronically selecting which one or more of the plurality of pre-data-collection software applications to apply to the plurality of received electronic images; and
- e. applying the selected one or more pre-data collection software applications to the plurality of received electronic images;

whereby distributed scanners of various types coupled to client computers may be effectively employed for data imaging while permitting effective data collection after selected pre-data-collection software applications have been applied according to the type of scanner used at any particular imaging site.

4. A computer program product readable by a computing system for a computer process for a computerized test processing workflow system configured for analyzing electronic images of test question responses provided by a test taker, the system comprising a server subsystem having at least one server computer, a client subsystem having at least one client computer, and at least one of a plurality of types of optical imaging devices for electronically capturing the test question responses, wherein each particular client computer system has a user interface, a method for applying at least one of a plurality of pre-data-collection software applications depending upon the imaging device type, the computer program product comprising encoded instructions either embedded on a computer-readable media or transmitted in a propagating wave, the encoded instructions being arranged and configured to be read by the computing system for causing the computing system to perform the steps of:

- a. generating an optical-imaging-device-type command, wherein the optical-imaging-device-type command comprises information of the particular type of optical imaging device being used to capture the test question responses as electronic images;
- b. generating a pre-data-collection software command for selecting which one or more of the plurality of pre-data-collection software applications to apply to the electronic images;
- c. receiving a plurality of electronic images from the optical imaging device;
- d. based upon the optical-imaging-device-type command and the pre-data-collection software command, electronically selecting the one or more of the plurality of pre-data-collection software applications to apply to the plurality of received electronic images; and
- e. applying the selected one or more pre-data collection software applications to the plurality of received electronic images;

whereby distributed optical imaging devices of various types coupled to client computers may be effectively employed for data imaging while permitting effective data collection after selected pre-data-collection software applications have been applied according to the type of optical imaging device used at any particular imaging site.

5. A computer program product readable by a computing system for a computer process for a computerized test processing workflow system configured for analyzing electronic images of test question responses provided by a test taker, the system comprising a server subsystem having at least one server computer, a client subsystem having at least one client computer, and at least one of a plurality of types

of optical imaging devices for electronically capturing the test question responses, wherein each particular client computer system has a user interface, a method for applying at least one of a plurality of pre-data-collection software applications depending upon the imaging device type, the computer program product comprising encoded instructions either embedded on a computer-readable media or transmitted in a propagating wave, the encoded instructions being arranged and configured to be read by the computing system for causing the computing system to perform the steps of:

- a. generating an optical-imaging-device-type command at any particular client computer for indicating to the coupled server subsystem the particular type of optical imaging device being used to capture the test question responses as electronic images;
- b. generating a pre-data-collection software command at the particular client computer system for indicating to the server subsystem which one or more of the plurality of pre-data-collection software applications to apply to the electronic images;
- c. receiving a plurality of electronic images from the particular client computer system and corresponding optical imaging device;
- d. based upon the optical-imaging-device-type command and the pre-data-collection software command, electronically selecting which one or more of the plurality of pre-data-collection software applications to apply to the plurality of received electronic images; and
- e. applying at the particular client computer system the selected one or more pre-data collection software applications to the plurality of received electronic images; whereby distributed optical imaging devices of various types coupled to client computers may be effectively employed for data imaging while permitting effective data collection after selected pre-data-collection software applications have been applied according to the type of optical imaging device used at any particular imaging site.

6. A system for applying at least one of a plurality of pre-data-collection software applications depending upon the imaging device type in a computerized test processing workflow system configured for analyzing electronic images of test question responses provided by a test taker, the system comprising a server subsystem having at least one server computer, a client subsystem having at least one client computer, and at least one of a plurality of types of optical imaging devices for electronically capturing the test question responses, wherein each particular client computer system has a user interface, the system comprising:

- a. means for generating an optical-imaging-device-type command, wherein the optical-imaging-device-type command comprises information of the particular type of optical imaging device being used to capture the test question responses as electronic images;
- b. means for generating a pre-data-collection software command for selecting which one or more of the plurality of pre-data-collection software applications to apply to the electronic images;
- c. means for receiving a plurality of electronic images from the optical imaging device;
- d. means for electronically selecting the one or more of the plurality of pre-data-collection software applications to apply to the plurality of received electronic images based upon the optical-imaging-device-type command and the pre-data-collection software command; and



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e. means for applying the selected one or more pre-data collection software applications to the plurality of received electronic images;

whereby distributed optical imaging devices of various types coupled to client computers may be effectively employed for data imaging while permitting effective data collection after selected pre-data-collection software applications have been applied according to the type of optical imaging device used at any particular imaging site.

7. A system for applying at least one of a plurality of pre-data-collection software applications depending upon the imaging device type in a computerized test processing workflow system configured for analyzing electronic images of test question responses provided by a test taker, the system comprising a server subsystem having at least one server computer, a client subsystem having at least one client computer, and at least one of a plurality of types of optical imaging devices for electronically capturing the test question responses, wherein each particular client computer system has a user interface, the system comprising:

- a. a processing system configured to generate an optical-imaging-device-type command, wherein the optical-imaging-device-type command comprises information of the particular type of optical imaging device used to capture the test question responses as electronic images;
  - b. the processing system also being configured to generate a pre-data-collection software command for selecting which one or more of the plurality of pre-data-collection software applications to apply to the electronic images;
  - c. the processing system further configured to receive a plurality of electronic images from the optical imaging device;
  - d. the processing system being further capable of electronically selecting the one or more of the plurality of pre-data-collection software applications to apply to the plurality of received electronic images based upon the optical-imaging-device-type command and the pre-data-collection software command; and
  - e. the processing system also being configured to apply the selected one or more pre-data collection software applications to the plurality of received electronic images;
- whereby distributed optical imaging devices of various types coupled to client computers may be effectively employed for data imaging while permitting effective data collection after selected pre-data-collection software applications have been applied according to the type of optical imaging device used at any particular imaging site.

8. The system of claim 7, further comprising an electronic storage component capable of storing in the system information generated from application of the one or more pre-data collection software applications to the received electronic images.

9. The system of claim 7, wherein the processing system further comprises a server component for applying the selected one or more pre-data collection software applications to the plurality of received electronic images.

10. The system of claim 7, wherein the optical-imaging-device-type comprises a device that outputs images in tagged image file format (TIFF).

11. The system of claim 7, wherein the optical-imaging-device-type comprises a scanner.

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12. The system of claim 7, wherein the optical-imaging-device-type comprises a facsimile machine.

13. The system of claim 7, wherein the optical-imaging-device-type comprises a device that digitizes an electronic image represented as binary data.

14. The system of claim 7, wherein the pre-data collection software comprises human handwriting recognition technology.

15. The system of claim 7, wherein the pre-data collection software comprises barcode recognition technology.

16. The system of claim 7, wherein the pre-data collection software comprises software having the ability to identify an image as belonging to a particular set of images.

17. The system of claim 7, wherein the pre-data collection software comprises software having the ability to remove from an electronic image noise or superfluous lines without removing characters.

18. The system of claim 7, wherein the pre-data collection software comprises optical character recognition technology.

19. The system of claim 7, wherein a user interface generates the optical-imaging-device-type command.

20. In a computerized test processing workflow system configured for analyzing electronic images of test question responses provided by a test taker, the system comprising a server subsystem having at least one server computer, a client subsystem having at least one client computer, and at least one of a plurality of types of optical imaging devices for electronically capturing the test question responses, wherein each particular client computer system has a user interface, a method for applying at least one of a plurality of pre-data-collection software applications depending upon the imaging device type, the method comprising:

- a. generating an optical-imaging-device-type command, wherein the optical-imaging-device-type command comprises information of the particular type of optical imaging device being used to capture the test question responses as electronic images;
- b. generating a pre-data-collection software command for selecting which one or more of the plurality of pre-data-collection software applications to apply to the electronic images;
- c. receiving a plurality of electronic images from the optical imaging device;
- d. based upon the optical-imaging-device-type command and the pre-data-collection software command, electronically selecting the one or more of the plurality of pre-data-collection software applications to apply to the plurality of received electronic images; and
- e. applying the selected one or more pre-data collection software applications to the plurality of received electronic images;

whereby distributed optical imaging devices of various types coupled to client computers may be effectively employed for data imaging while permitting effective data collection after selected pre-data-collection software applications have been applied according to the type of optical imaging device used at any particular imaging site.

21. The method of claim 1, further comprising the step of applying character recognition to the received electronic images.

22. The method of claim 1, further comprising the step of applying within the business object layer of the architecture the selected one or more pre-data collection software applications to the plurality of received electronic images.

23. The method of claim 1, wherein the step of generating an optical-imaging-device-type command comprises a command for a device that output images in tagged image file format (TIFF).



24. The method of claim 1, wherein the step of generating an optical-imaging-device-type command comprises a command for a scanner.

25. The method of claim 1, wherein generating an optical-imaging-device-type command comprises a command for a facsimile machine.

26. The method of claim 1, wherein generating an optical-imaging-device-type command comprises a command for devices that digitize an electronic image represented as binary data.

27. The method of claim 1, wherein the step of applying the selected one or more pre-data collection software applications to the plurality of received electronic images comprises applying human handwriting recognition technology.

28. The method of claim 1, wherein the step of applying the selected one or more pre-data collection software applications to the plurality of received electronic images comprises applying barcode recognition technology.

29. The method of claim 1, wherein the step of applying the selected one or more pre-data collection software applications to the plurality of received electronic images comprises applying software having the ability to identify an image as belonging to a particular set of images.

30. The method of claim 1, wherein the step of applying the selected one or more pre-data collection software applications to the plurality of received electronic images comprises applying software having the ability to remove from an electronic image noise or superfluous lines without removing characters.

31. The method of claim 1, wherein the step of applying the selected one or more pre-data collection software appli-

cations to the plurality of received electronic images comprises applying optical character recognition technology.

32. The method of claim 1, wherein the step of generating an optical-imaging-device-type command is accomplished using a user interface.

33. The method of claim 1, wherein the step of generating a pre-data-collection software command is accomplished by a user through a user interface.

34. The method of claim 1, wherein the step of receiving a plurality of electronic images from the optical imaging device comprises receiving an electronic representation of at least a portion of the test question response.

35. The method of claim 1, further comprising the step of storing in the system information generated from application of the one or more pre-data collection software applications to the received electronic images.

36. The method of claim 35, wherein the step of storing the information generated from the application of the one or more pre-data collection software applications comprises information about the identity of the plurality of received electronic images.

37. The method of claim 35, wherein the step of storing the information generated from the application of the one or more pre-data collection software applications comprises information about cleaned electronic images of the plurality of returned electronic images, cleaned electronic images representing an electronic image that has had removed electronically noise and superfluous lines without removing actual characters.

\* \* \* \* \*

UNITED STATES PATENT AND TRADEMARK OFFICE  
**CERTIFICATE OF CORRECTION**

PATENT NO. : 6,675,133 B2  
DATED : January 6, 2004  
INVENTOR(S) : Knowles et al.

Page 1 of 2

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

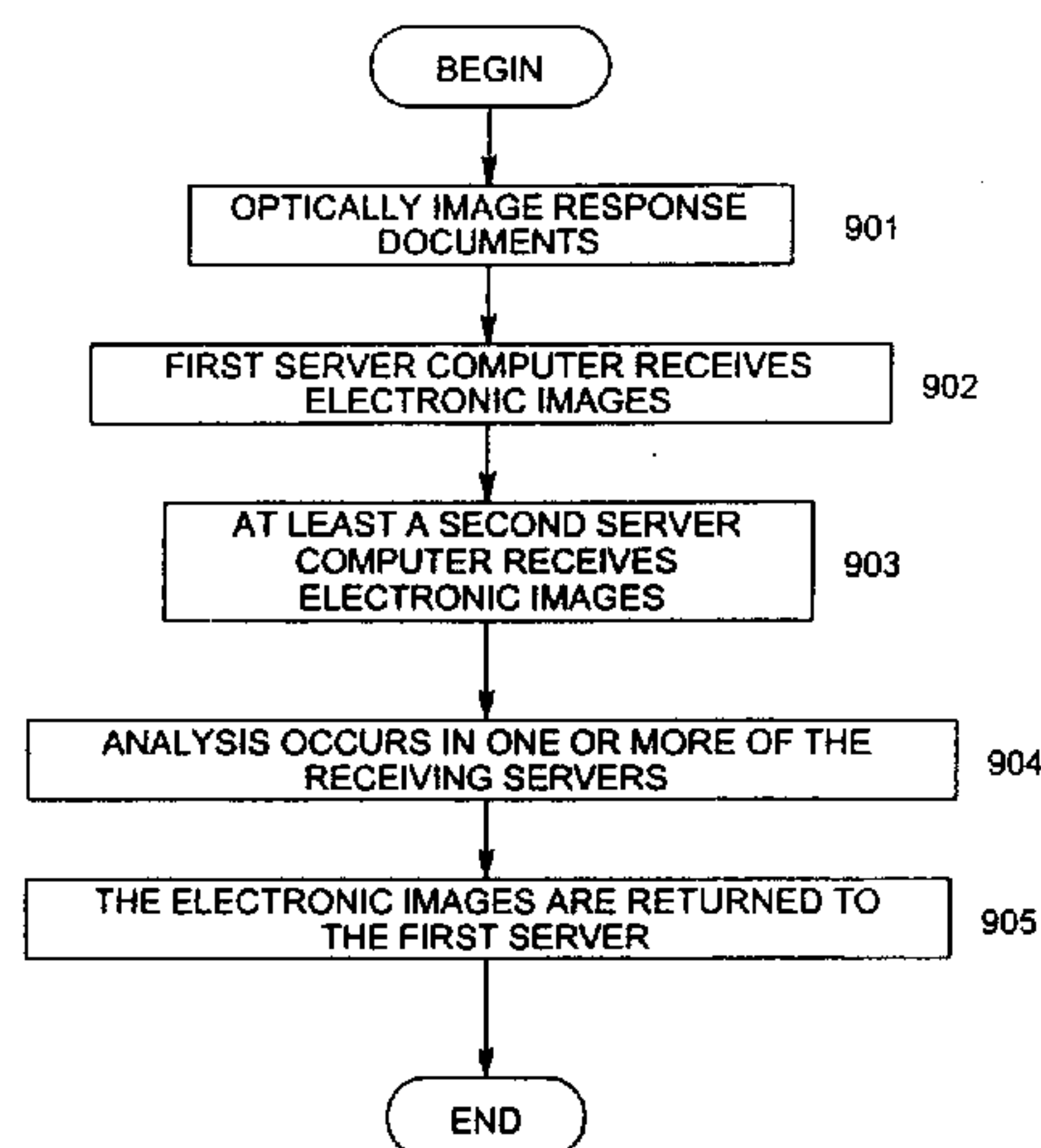
Title page.

Item [73], Assignee, "NCS Pearsons, Inc.," should read -- **NCS Pearson, Inc.**, --  
Item [56], **References Cited**, U.S. PATENT DOCUMENTS, "5,672,060 A \* 9/1997  
Poor 434/332" should read -- 5,672,060 A \* 9/1997 Poor 434/322 --

Drawings.

Sheet 12, Fig. 9, "OCTICALLY" should read -- OPTICALLY -- and "ACCURS"  
should read -- OCCURS --.

FIG. 9



Column 18.

Lines 57, 60 and 64, "claim 1," should read -- claim 20, --

Column 19.

Lines 1, 4, 7, 11, 15, 19, 24 and 30, "claim 1," should read -- claim 20, --

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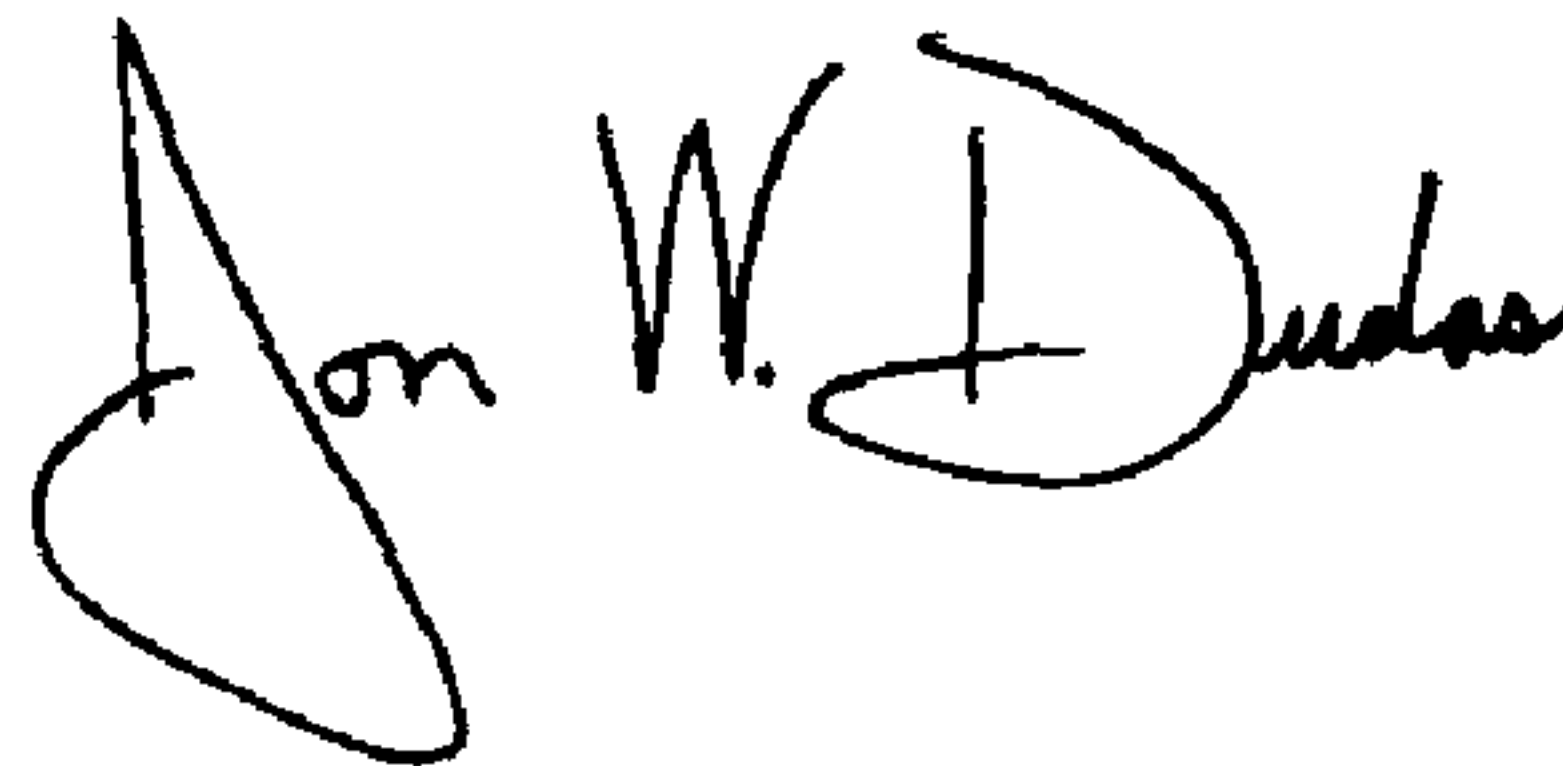
Page 2 of 2

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Column 20,  
Lines 3, 6, 9 and 13, "claim 1," should read -- claim 20, --

Signed and Sealed this

Thirty-first Day of August, 2004

A handwritten signature in black ink that reads "Jon W. Dudas". The signature is written in a cursive style with a large, looped initial "J".

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JON W. DUDAS  
*Director of the United States Patent and Trademark Office*